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HOW TO BE A DEAN

George Justice

VISIT…

"How to Be a Dean reads like a chat with a trusted colleague. Justice provides quick reference points on all of the dean's daily work. But more importantly, he reminds us that effective deans do more than just manage; they sustain and advance the collective mission of higher education."

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—Jennifer Drake, Provost and Vice President for
Student & Academic Life, The Evergreen State College

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George Justice

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Preface

I have been lucky enough to serve as dean at two universities, the University of Missouri–Columbia (MU) and Arizona State University (ASU). In 2013 I left my position as vice provost for advanced studies and dean of the graduate school at Missouri to take up a position at ASU as dean of humanities and associate vice president for humanities and arts. And in the fall of 2015 I watched from afar as a campus I loved more or less fell apart, as student protests and an unprecedented strike by the football team brought down the university system president and the MU chancellor.

After three and a half years as Missouri's president, Tim Wolfe, a business executive with no previous experience in higher education, resigned under pressure from pretty much everyone. As president, Wolfe had hired R. Bowen Loftin as the new MU chancellor. Loftin had been on the job as for less than two years when he, too, was forced out.* Loftin, as the *Chronicle of Higher Education* has documented, alienated academic leadership and faculty within the institution, and the campus deans were instrumental in making the university's curators (its board of governors) aware of the need for a change in campus leadership.

At the time of his ouster, Chancellor Loftin was reviled by many campus constituencies for his narcissistic version of

*The *Columbia Missourian* published a useful timeline of the events. Emma Vandeliner, "Racial Climate at MU: A Timeline of Incidents This Fall," November 6, 2015. https://www.columbiamissourian.com/news/higher_education/racial-climate-at-mu-a-timeline-of-incidents-this-fall/article_0c96f986-84c6-11e5-a38f-2bd0aab0bf74.html.

leadership. As part of this, he repeatedly expressed contempt for the role that the academic deans played on campus. *Chronicle of Higher Education* reporter Jack Stripling wrote that the MU deans were dismayed by

> Mr. Loftin's habit of calling the deans "essential middle management," a title that, while technically accurate, sounded like a disparaging dig. The deans cringed when the chancellor told them, "I can fire you," which he once said to the entire group and occasionally told the deans individually, according to their account. "Those who worked with him on campus were told, in no uncertain terms, that they worked for him, not with him," the deans said.*

The conflict between Loftin and MU's deans continues to play out, mostly in less incendiary ways, in a broad range of institutions of higher education. Loftin made a "technically accurate" assessment of the deans' place in a university's organizational hierarchy. At the same time, he misunderstood (inexcusably for a university leader!) the somewhat autonomous leadership role that deans play in the academic life of a college or university. Yes, all deans understand that they serve at the pleasure of the provost and chancellor and can be dismissed before their terms are completed. (Some universities do not even provide deans with terms.) And, yes, all deans need to acknowledge and advance the vision laid out from above, even for the academic mission of the institution. However, the successful dean is much more than a cog in the machine, as Loftin's removal from his position demonstrates.

The story at Missouri shows not the spite of a group of middle managers unhappy with their boss. Instead, it underscores the leadership that deans must continue to exercise in organizations

*Jack Stripling, "How Missouri's Deans Plotted to Get Rid of Their Chancellor," *Chronicle of Higher Education*, November 20, 2015. https://www.chronicle.com/article/How-Missouri-s-Deans-Plotted/234283.

that are not mere education businesses, but are instead long-standing institutions with special responsibilities to the world in the university work encompassed by *teaching*, *research*, and *service*. Even more than presidents and provosts, whose lives are complicated by a set of responsibilities that reduces the importance of the academic mission in their daily work, deans must always identify with and be dedicated to the mission of academic integrity and excellence. And, in a last resort, deans will rise up in defense of the university's mission, students, faculty, and broader cultural aspirations. As the example of MU shows, when university leadership goes off the rails, the collective voice of the deans must provide a trustworthy account of the state of the university.

The dignity of the deanship, then, is not an invention of the deans themselves, and the role of dean transcends the idea of middle management. All deans on every campus on every day of the year are exalted as the representation of the scholarly and educational excellence pursued by their institutions. At the same time, the deans' bosses (the provost/executive vice president for academic affairs and the president/chancellor) sometimes want it both ways. They praise the deans for their leadership but treat them (without saying so) as underlings charged with the business management of keeping the numbers up and the conflicts quiet. From below, the department chairs, faculty members, students, and staff working in their colleges want to treat the deans as their real leaders (as well as direct reporting line), since deans are reasonably accessible and most deans have "walked the walk" of teaching and learning, research, and unit management. But the deans also control the chairs' budgets, and on a daily basis the amount of money flowing into the units will shape the attitudes that the faculty, in particular, will have toward the deans.

The tension between middle management and academic leadership shapes the contemporary deanship. Successful deans manage well and lead appropriately. Unsuccessful deans fail at

one or the other, or both, and their ends can be ignominious and quick.

The pages that follow provide current and future deans with tools not only to manage effectively but also to lead strongly. This book aims also to spur reflection so that deans can choose wisely when they should speak truth to power and when they should focus on managing their colleges effectively for the benefit of the people and programs that predate and will outlive the term in office of any dean. The structure of the book reflects the deepening intensity of experience over time in office. Chapter one, "What Does a Dean Do?," outlines the various responsibilities and constituencies of the academic dean and discusses what makes the academic dean distinct from specialized deanships. Chapter two, "The Dean in the College," gets into the nitty-gritty of the daily grind, including managing an office, hiring faculty members, and managing student enrollment in the context of complicated institutions that combine hierarchy and structure with decentralized control over curriculum and personnel. Negotiating the valid expectations of students, staff members, and, especially, faculty members is a tricky but critically important aspect of every part of the dean's work. Chapter three, "Managing Down, Managing Up," suggests ways in which deans can optimize their positive impact on their communities. Academic middle management is very different from management in other industries and requires a mastery of detail combined with clearly articulated vision. Chapter four, "Being of Value," addresses some of the most important issues in higher education today and describes the dean's role in any campus's engagement with issues as varied as diversity and inclusion and building college revenues. Deans have more self-determination than most in shaping their own careers: the epilogue discusses "Knowing When to Stop."

In this book, I describe in context the broad outlines and the day-to-day work of the academic dean, the leader of a college,

whether it is the only such college in a small institution or just one of many such units in a university. In either case, the college is a complex organization that includes faculty members, staff members, and students and that controls curriculum and manages the teaching of that curriculum. This book is polemical and brief; "Further Reading" provides information on other books and articles that address the deanship either with different information or from a different perspective. I have tried not only to capture the essential aspects of the role but to make an argument. As complicated as it is to combine the work of an effective middle manager with that of an academic leader, the work is critically important to the ongoing success of institutions of higher education. More and more politicians and businesspeople are taking over senior-level leadership of colleges and universities. Deans, with their special role as academics *and* managers, need to be in place to defend our traditions and to lead the way forward.

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Chapter 1

What Does a Dean Do?

What Is a Dean?

Few employees within most academic institutions understand their workings. I used to joke that the president of a college or university is more like a mayor of a city than the CEO of a corporation. The various parts seem to run nearly autonomously. Coming into their roles, new deans sometimes have only a partial understanding of how their colleges work, let alone what the role of dean entails. Efforts have been made to help future academics, and future academic leaders, understand these peculiar institutions.

Preparing Future Faculty (PFF) was a project initiated by the Council of Graduate Schools (CGS) and the Association of American Colleges and Universities (AAC&U) in 1993 to help doctoral students understand the broad context of academic careers, particularly those that involve teaching. Still in place at many universities, PFF programs expose PhD students to the way things work at a range of academic institutions in all Carnegie Classifications, including community colleges, small liberal arts colleges, and regional state universities—places that were projected, in

the early 1990s, to have ongoing need for tenure-track faculty members. Doctoral students who go through PFF are better prepared for the job search, and they typically widen their searches to a broader range of institutions that seem to offer a good fit. It would be interesting to see whether a higher percentage of faculty members who have gone through PFF programs become deans or take on other leadership positions. Faculty members who have gone through PFF certainly enter their first academic positions with a greater understanding of the institutional context of the work they will be asked to do as a member of an academic department and as a citizen of an institution focused in complex ways on broad constituencies involved in teaching, research, and service.

Many readers of this volume will, if they currently serve in a professional capacity at a college or university, have a strong understanding of at least their own institutions. For other readers, I here lay out a road map of typical academic organizations in North American institutions of higher education, using standard vocabulary and reflecting common structures. If you have been through (or have taught) PFF, or if you currently serve as a department chair or dean, you can probably skip this section. However, the roles and terms described below will recur frequently in the course of my discussion of what deans do. (For an extensive description of how research universities work, John V. Lombardi's *How Universities Work* is an excellent short volume by one of the country's most experienced and successful university leaders.)

American institutions of higher education are governed by boards of trustees (or regents, or curators, or, less commonly, visitors). These boards choose the chief executive officer of their institutions, typically known as president or chancellor. Governing boards are charged with a set of responsibilities that are (or should be) limited to setting strategic priorities, overseeing broad aspects of financial health, and granting approval for major decisions made on campus, including approving tenure decisions

recommended by the president after many rounds of examination and advice. See *How University Boards Work,* by Robert A. Scott, for more information about boards, and *How to Run a College,* by Brian C. Mitchell and W. Joseph King, for a discussion of what executive leadership accomplishes.

Anyone below the president of a university is embedded within a particular substructure. As chief executive officer, the president typically oversees all of these organizational substructures. The president delegates direct management of these administrative entities to people with the title of vice president. Often there are separate vice presidents for students, research, facilities, athletics, community relations, finances, and so on, with the provost serving as a vice president above all others and often given a formal additional title, such as executive vice president for academic affairs. The provost is the vice president charged with the special responsibility of managing the academic (teaching and research) units, which compose the core, and fulfill the purpose, of the institution.

Campuses with more than one area of academic programming are usually subdivided into colleges and schools: a college of arts and sciences, a college of engineering, a school of law, a school of medicine. There is seldom a formal difference between colleges and schools; schools may have been established without separate departments, but that changes over time. Colleges and schools are led by deans, and within them are often smaller divisions—departments or, confusingly, schools—led by chairs, heads, or directors. In this volume, I refer to these smaller divisions as departments or units (a generic term that can also refer to research centers housed within a dean's college). The chairs, heads, and directors manage these departments and schools, which combine administrative and academic functions. For example, a department of psychology is an administrative organization that brings together faculty, staff, and students who are charged with maintaining curriculum and research in psychology and associated academic areas, possibly including clinical

programs, counseling programs, and research programs touching on the life sciences, including neuroscience. You wouldn't, therefore, find a psychology professor chairing a nuclear engineering department. At least you wouldn't in a normally functioning institution. I am an English professor, and for a time I did have responsibility for nuclear engineering at the University of Missouri. I can assure you that It Was Not a Good Idea.

Along those lines, some institutions have prised the administrative and academic functions of their subunits in order to promote transdisciplinary research and education. Current academic organization tends to reinforce traditional thinking about academic disciplines. Tenured faculty members were largely trained in their disciplines with PhDs earned between five and fifty years ago. If these faculty members have moved directly from undergraduate majors to PhD programs to academic positions, they can misperceive the disciplinary structure of academic departments as a state of nature. That thing called sociology is, to traditional thinking, different from that thing called psychology, and the sociology department therefore teaches a different curriculum and pursues different research than the psychology department. Many deans believe it's worth challenging both the academic disciplines, which solidified a century ago, and the way those disciplines are mapped onto administrative structure. Reorganization might end up being one of a new dean's ambitious strategic goals. Nevertheless, most institutions have a version of administrative structures that mirror traditional disciplinary boundaries, and typically the deans overseeing programs and units are expert in at least one of the related areas in the college. This expertise, combined with his or her administrative roles, means that the dean is a representative of the academic excellence and ambition of all the units in the college. The faculty expects the dean to uphold, and advocate for, the disciplinary integrity of the academic units.

Different Deanships

Most of this book is written with the academic college dean, also called a "line dean," in mind, the position that combines the roles of academic leader and middle manager with CEO-like responsibilities for a set of related academic units. But colleges and universities use the word *dean* for a number of other positions with responsibilities that overlap with those of the so-called line dean. Sometimes line deans look down on the positions that I describe here. They shouldn't. All these deanships are key to the work of serving students, creating knowledge, building the faculty, and helping the institution make a difference.

Associate Deans and Assistant Deans

Associate deans and assistant deans are still deans. If you are, or will be, in such a role, you will have access to and assist with most of the responsibilities outlined in this volume. Your boss, the dean, might delegate responsibility for one or more of the major aspects of the position to you to handle as the primary leader in the office. For example, you might be associate dean for undergraduate affairs, assistant dean for faculty affairs, or associate dean for research.

Some department chairs take up positions as deans directly, but others move from chair to associate dean. For a department chair, accustomed to thinking of that role as CEO of a department, it can be disconcerting to come into the dean's office as associate dean and see the staff treating you with respect but not with the eagerness to please that they might demonstrate for your boss, the dean.

Before accepting the role of associate dean, a department chair needs to have clear goals for the position that align with any specific responsibilities. These goals might include work with a number of academic programs; responsibility for academic personnel, including tenure and promotion or faculty governance; primary leadership for a broad area central to college

work, such as research or curriculum; and additional experience with philanthropy.

If there is no clear benefit to the portfolio of the responsibilities in the role laid out for the associate deanship, an experienced department chair might consider applying for the position of dean. Of course, that means either that there is an opening in that role on the experienced department chair's campus or that the chair is willing to leave for another institution.

A faculty member with particular skills may be asked to enter the dean's office as an assistant or associate dean without having served as department chair. These associate and assistant deans should know that they very well may be passed over for the role of dean, since one common expectation is that the dean will have management experience, including oversight of faculty, students, and curriculum, all of which are included in the experience of most department chairs. For that reason, there is still a strong predilection to choose deans from the ranks of department chair at most institutions. This doesn't mean that an ambitious faculty member who has not served as chair should hold out and refuse an appointment as assistant or associate dean in the college. Understand that the path to the position of dean probably won't be straight. Additionally, if you have not yet been promoted to the rank of professor, you will have yet another career wrinkle to contend with.

Interim Dean

Interim dean is a real category of interesting and significant jobs. At any given moment, a large university might have one or two interim deans. Some of these might be associate deans who are stepping up for a departed dean and hoping to be considered for the position. Others might be former deans or experienced department chairs brought in to stabilize the college when an extensive search is going to be undertaken.

An interim and his or her provost must be on the same page about the interim's aspirations and the provost's expectation for

what being interim dean entails. The interim dean label means something even outside the context of your university. For example, I was a finalist for very attractive positions while I was serving as interim dean. If you're ambitious, you might accept the opportunity to serve on an interim basis even when you don't think you will be a leading candidate for the permanent position, or have even been told you are not eligible to apply.

Dean of the Graduate School

Graduate dean is a great job. Your constituents are graduate students and the graduate faculty across the institution. You have small numbers of resources, most of which might be locked up in administrative personnel and graduate fellowships. If you want to buckle down on developing your own academic discipline, graduate dean is the wrong job for you. But the role of graduate dean allows you to work across campus, almost as a mini-provost with responsibility for postbaccalaureate education. If being at a university excites you because there's so much you don't know and do want to learn, graduate dean can be a wonderful position. Make sure to ask for a vice provost as well as a dean title. To be effective, the graduate dean needs to be present at both the provost's staff meetings and the meetings of the council of deans.

The Council of Graduate Schools publishes a series of pamphlets on graduate education, including on the structure of graduate schools and the role of dean.

Honors Dean

Honors programs have honors directors, who coordinate curriculum and personnel with department chairs. Honors *colleges* have deans, who manage organizations akin to the graduate school but focused on outstanding undergraduate students. Dean of the honors college can be an exciting job if campus leadership is willing to support the entire range of responsibilities, which include enrollment management and admissions

processes; special residential and dining halls to provide extraordinary opportunities for students; funds with which to hire special honors college faculty or to pay for faculty elsewhere in the university to take on a special role with the honors college; and discretionary funds for speakers and events to provide a distinctive experience for honors students.

What you don't want as honors dean is to spend all your time cajoling department chairs to provide you with free labor for courses you otherwise wouldn't be able to offer to students. In an RCM system (a Responsibility Center Management system, discussed in chapter three), you want not only the tuition from honors sections or honors courses, but an additional program fee from students as well as other campus support.

Some honors programs at colleges and universities are bogus, and sometimes "honors" are so widely distributed that the specific programs offered by an honors college can be lost in the fog of the special offerings provided by the academic colleges, whose deans feel about honors deans the way they feel about graduate deans: Do we really need them? Can't we just do this on our own?

You need to demonstrate added value to students. And you also need to demonstrate added revenue to the university, through the number and quality of students who attend specifically to take advantage of what the honors college has to offer.

Dean of University College

The university college is a unit growing at many campuses, particularly public institutions looking to serve students from a wide range of demographic categories and educational backgrounds whose graduation rate has been lower than other students'. The dean of a university college has an opportunity to serve students by shaping curriculum and by creating paracurricular programs that enhance student engagement with learning and with career prospects. Like a graduate dean or an honors dean, the university college dean will have limited

resources unless the institution puts certain courses in the dean's purview, including college algebra or first-year English.

Dean of Libraries

On some campuses the chief librarian is a director, a vice president, or a vice provost. In those cases, the librarians are generally classified as administrative staff rather than as faculty. On other campuses, librarians are faculty members and their overarching administrative leader is a dean. The dean of libraries is one of the most misunderstood deans on campus, especially on science and technology campuses, where fellow deans believe the major role of the libraries is to provide access to the latest scientific articles—and if they can consolidate student study space, too, that's an added benefit.

Where librarians are considered faculty members and go through a tenure and promotion process, it's only right that the administrator overseeing those faculty be called and be treated as a dean. Given the importance of information, and especially the particular form of information known as scholarship, the dean of libraries does much more than administer a complex combination of facilities, staff, and faculty. At the modern university, the dean of libraries should be a thought leader on campus whose vision and expertise influence education, research, and creative activity, and, indeed, economic development. Like other deans, the dean of libraries should have a seat at the council of deans. And not a quiet seat. It's crucial for this dean to speak up on matters of academic concern and not use a seat on the council only to beg wearily for additional funding to serve the academic units. Like other non-revenue-producing deans, the library dean is thrashed by RCM and other budgeting models that don't prioritize the shared resources that make all our work possible.

Dean of Students

The dean of students is furthest removed from the role of academic line dean of all deans discussed in this section.

The dean of students oversees the noncurricular life of students at the institution. *Noncurricular* but not *nonacademic*, because the role is very closely related to academic success at the institution, particularly when issues of academic integrity fall under the purview of the role.

At larger institutions, these deans almost never have a regular seat at the table of the council of deans. Many deans of faculty do not hold a regular tenured or tenure-track faculty position. The path to these positions typically comes through the field of student affairs. The career track often leads from the undergraduate role of residential adviser to a master's program in higher education at a college of education. After the master's, the future dean of students begins full-time administrative work in student affairs offices, followed by specialized PhDs and increasing responsibility in student affairs.

However, the role of dean of students can be very different at small colleges, where overall administrative responsibilities on campus may be divided between a dean of faculty and a dean of students, and there may not even be a provost. In this case, a seasoned faculty member who is excellent in the classroom and has been an effective administrator, typically as department chair, may be tapped to be dean of students and lead the undergraduate experience in all aspects, curricular and para-curricular. This role can be great preparation for senior leadership positions at small colleges and can be very attractive indeed to a dedicated faculty member.

Recently appointed and currently serving deans might want to skip the next section, which is aimed at faculty members and others who might aspire to the academic deanship. Through a set of commonly asked questions I lay out the standard qualifications, background, and skills of those who become competitive in searches for academic deans. I then discuss the job search, perhaps also of less immediate value to readers who are already deans.

What's in a Title?

Use of the word *dean* in higher education points to the roots of American colleges and universities as preparatory institutions for men proposing to enter the church as clergy. The dean of a monastery was the supervisor of ten monks. In the thirteenth century, the word began to be used to indicate the "president of a faculty or department of study in a University," as the *Oxford English Dictionary* defines it.

Words do matter. A less specialized hierarchy might style the provost more simply a vice president (or executive vice president) for academic affairs, with the dean role mapping onto an associate vice president for engineering, for example, rather than dean of engineering. Deans and provosts feel and act upon their special titles, which emphasize the distinction between universities and other organizations. Deans may serve the role of middle management in their organizations, but everyone, from the institution's governing board to students paying tuition, recognizes the special status of a dean as "the president of a faculty or department of study," as the definition has it, even if they could not articulate it so precisely.

Do You Have What It Takes?

A typical description for a dean position will list a number of necessary qualifications and some desirable qualifications. The specific set of attributes will probably be shared by many of the dean's constituents, although the meaning of a particular skill, value, or approach might vary according to audience. (For example, "a commitment to shared governance" tends to look different to provosts than to faculty members.)

Having what it takes means looking back (What has brought you to this place?) and forward (What will you bring to the

position?). If your experiences have led you to this point *and* you can bring both competence and vision to the role, the position of dean may be worth exploring.

Why would you want to be a dean? People end up applying for and accepting positions as dean for good and bad reasons. I mean good and bad *for you*. Any decision you make, of course, should also keep the needs of others in mind, whether it's your family or the people you will be working with in the university. These reasons assume a typical profile of an incoming academic dean at a college or university in North America, which includes status as a faculty member with tenure and a solid record of achievement in the areas valued by your current institution. There are nontraditional hires into the deanship, including people without regular faculty positions, faculty members who have not yet achieved tenure, and even professionals with a high profile in academic or professional disciplines but whose work has been outside the academy. The calculations these candidates make for pursuing the deanship might look different.

Here are some good reasons a talented academic might want to pursue a career in administration as a dean:

- You have enjoyed and done well in service (outside of teaching and research) to this point in your academic career.
- You feel satisfied with your career trajectory. There are no major loose ends in your research, teaching, or other major obligations.
- You understand that you will working *for others* seventy hours each week—or more.
- You are energized by the whole work of the institution—research and teaching, of course, but also broad areas of student success and engagement with the community.
- You are more interested in the work your colleagues are doing than in your own intellectual work.

Here are some bad reasons:

- The money. Yes, you will make more money, both immediately and down the road. You will, though, earn every additional cent you make. It isn't worth it for the money alone.
- You want to go to a more highly ranked institution. There is an opportunity cost to the deanship, in terms of career-advancing teaching and research that you won't be able to do. Faculty members rarely "move up" to a higher-ranked institution when accepting a deanship.
- Love of power. You will indeed feel important as a dean. But a dean's real power—meaning the ability to make positive, transformational change—is surprisingly limited.
- You require adulation. The greatest rewards of the deanship stem from the love of doing effective service for faculty members, students, and the community. Your joy comes from their success. Narcissists make terrible (and unhappy) deans.

A regular faculty job is extraordinarily flexible in comparison with professional positions in the nonacademic world. Even if most full-time faculty members work sixty hours per week, as recent studies have suggested, those sixty hours are taken, apart from in-class teaching and a small number of required meetings, when and where the faculty member desires.* A job as dean is just the opposite: your time will be scheduled, usually by someone other than yourself. Gaps in your calendar can be filled, whether by your assistant or by your bosses and their assistants, at pretty much any time. The life of a dean favors (as do many conventional careers) people with no dependents or with a

*Laura McKenna, "How Hard Do Professors Actually Work?" *The Atlantic*, February 7, 2018. https://www.theatlantic.com/education/archive/2018/02/how-hard-do-professors-actually-work/552698/.

partner who can primarily manage the dependents. This situation may be changing, and you may work in an environment that has tried to restructure expectations to become family friendly. In practice, "family friendly" seems to mean that your bosses won't be mad at you if you miss a meeting to take care of a sick child, but they won't reschedule the meeting.

Some deans, particularly those at smaller institutions or with termed positions and hard limits on the number of terms that can be held, can integrate their administrative work into the flow of an institutionally typical career. There is something very appealing about an academic institution that calls on some of its most senior and effective faculty members to do their duty and take on the deanship for a few years. These positions seem to be decreasing in number, as academic administration has become a career separate from that of a faculty member with primary responsibilities in teaching, research, and service.

You can try out becoming a dean if you get the opportunity. Maybe you won't like it, and you can return to a faculty position with only a brief hiccup in your career. But if you like it, you will need to think hard and clear about where your career is going. At a certain point there is no turning back. Or at least there is no easy way to turn back.

Leadership Development Programs: Preparing Yourself

Does your institution offer leadership development programs? If so, ask someone to nominate you for participation. Program directors, department chairs, associate deans, associate provosts, and some promising faculty members typically are nominated by chairs, deans, and provosts to participate. Some programs are yearlong, some an intense program lasting a couple of weeks. There are also national leadership development programs. The American Council on Education (ACE) fellowship is the most prominent, but other general and targeted opportunities exist for faculty members interested in leadership to gain skills, network, and come to the attention of the prominent administrators who

serve as mentors in these programs. The HERS Institute is a program designed specifically for promising women leaders on campuses. For national programs like ACE and HERS, you will need your provost or president to nominate you. And your institution should pay if you are selected to participate.

Most of these programs include 360-degree assessments (with surveys filled out by your peers and supervisors), team-building skills, case study brainstorming, and time for networking. Every component of these programs, including the 360-degree assessments, is useful. You will likely remain friends with people who go through the experience at the same time you do. You should highlight your participation on your curriculum vitae. In the next section I describe other steps you can take to prepare and position yourself for leadership.

The Search Process

Deans may be selected in a number of ways, depending on the kind of institution and the particular folkways within that particular institution. Research universities generally (but not always) conduct national searches for new deans. Other institutions might search widely or might look internally, in the latter case either appointing an obvious faculty leader (often a current associate dean or department chair) or conducting an internal search, allowing faculty members from within the institution to apply for the position.

Whenever there is a search, there is also a search committee, typically consisting of faculty of different ranks within the college; college staff and perhaps a staff member from one of the college's units; a student; and sometimes an alum or other interested external collaborator. Candidates are asked to provide a letter (keep it to three or four pages), a current CV (including leadership experience as well as academic qualifications), and a list of references. The list of references includes contact information for at least three people who might be contacted by

phone to describe your strengths and potential weaknesses as an administrator.

The letter is crucial to your ability to emerge from the slush pile. It should describe both relevant work you have done (as department chair, as director of unit- or college-level programs, in university service) and your vision for what you might accomplish if you were to become dean. Your letter should be addressed to the search committee and should focus on issues of relevance to the faculty, staff, and students on the search committee. If you are selected for an interview, you will have your chance to impress the provost and the president later. At this stage, the search committee's response is most influential. (Even so, avoid language such as "If I were dean, I would stand up for the college and be faculty centered rather than upper administration centered," even if that is what you think you intend to do.)

In most searches, four to six strong candidates jump off the page for the search committee as a whole. But institutions tend to choose ten to twelve semifinalists to interview, typically at a neutral location. Often these initial interviews are held at a hotel near the airport, to accommodate a string of one- to two-hour interviews over the course of two days. As a result, these semifinalist interviews are sometimes called airport interviews. Search committees generally make quick decisions after the airport interviews about which candidates they can agree have been the most promising. Usually two to four candidates are notified that they will be invited to campus for more extensive interviews over the course of two to three days.

If you have the qualities described above, you might start thinking about steps you can take to bring yourself to the attention of your provost and colleagues across your own institution even well before you will realistically be considered for a deanship. Qualifications generally include tenure with the rank of professor and experience running a program at the school or department level. The most common administrative position prior to becoming dean is that of department chair, and some

institutions won't seriously consider anyone for a deanship who hasn't served successfully as a department chair or school director for a number of years.

A typical route to a deanship, via department chair, begins with serving as director of curriculum, or undergraduate director, or graduate director in a department, concurrently serving on one or more college-level and university-level committees. There are two ways to begin gaining this experience: you can wait to be asked or you can put yourself forward. The relation between these two tactics is not as obvious as it would seem to be on the surface. When you put yourself forward, you are signaling that the work you are doing as a faculty member isn't enough. Departmental culture generally dictates that all service for a strong faculty member must be taken on reluctantly. Therefore, the protocol is to make it clear that you have good ideas and are competent (in department and other assigned committees) but that leadership you undertake on those committees is for the good of the department and is not related to your primary work as a teacher and scholar.

Indeed, the work you are doing as a faculty member is still the most useful preparation you can do for a deanship. Your colleagues will always be your colleagues, and their respect will be critical to your success as dean. When you are tapped for service assignments, don't say yes to everything—specify committees that interest you and that will advance your career. Your service assignments can be instrumental in shaping your career, even if you do not veer onto the administrative track as a permanent career. This is especially true for women in fields in which women are underrepresented and—also especially—for faculty members from groups who are underrepresented in higher education. If you are an African-American or Hispanic faculty member, you will be pressed into service, much of it "invisible service" mentoring students, from the moment you set foot on campus. Being able to identify the very small number of assignments to which you will say yes and having the strength to say

no to all others is one of the key knacks to develop, regardless of your leadership interests, talents, and ambitions. Exercising patience, and choosing the right experiences with the right people across campus, will make your life easier and provide you with better opportunities down the line.

The same is true, although to a lesser extent, for others who demonstrate the potential for administrative competence. Your colleagues will have been sizing you up from the time of your campus visit as a prospective faculty member. At some institutions, particularly smaller ones, your potential for service work will have been a decisive factor in the choice to hire you in particular. At larger institutions, your potential as a scholar will have taken precedence—but even at the most exalted of universities and colleges, the department chair and dean are always looking toward the future and noting a few of the unit's new faculty members who might develop administrative potential.

The Internal Candidate Route

Many people first become deans as internal candidates. It is difficult to predict when appropriate job openings will become available, so you can't plan to be in the right place at the right time. But if you are, and if you have prepared accordingly, becoming a dean at an institution where you are already employed can be a good way to continue your career.

Typically when an opening occurs, a small number of faculty members internal to the campus will be strongly considered. These candidates not only have appropriate experience but have established a good working relationship with the provost, president, and members of their teams.

The specific experience needed to be considered for an internal opening is similar to the experience needed to be competitive in a national search. Likely you will be a current department chair in the college that is looking for a dean or will be an associate dean or other prominent administrator either in the college or in the institution at large. If you have been named an

interim dean and are serving in that capacity, you may have an advantage in the search. But, then again, you might not. If you are serving as interim dean, you will be watched closely by faculty members and the department chairs who are reporting to you. More important than specific decisions will be the tone you set and your openness to working with people who had been your peers but who now report to you.

Except in certain circumstances—when the provost's choice is so clear that she or he does not even pretend to run a competitive search process, or when the next dean has been an open secret for some time—internal candidates still undergo a competitive process on their way to being named dean.

National Searches

Many dean searches are conducted as national searches, with the presumption that an institution will find the best candidate for the position in the context of evaluating the widest range of applicants who might be interested in and qualified for the position. Even when an institution believes that an internal candidate could be the best fit, it will often conduct a national search to prove to itself that the internal candidate is the strongest prospect.

If you are willing to move to another institution, then being selected in an external search may well provide the timeliest path to an administrative career. There are advantages and disadvantages to moving for your first position as a dean. The main disadvantage is that you'll have to learn everything about a new set of structures and personalities very quickly, even as you're doing the job. You'll perhaps have to learn not only a college-level budget but a new budget system. You'll have to learn not only how your departments work but which faculty mean trouble and which are really as good as they are telling you they are. You will need to divine which chairs are manipulating you maliciously and which are manipulating you in a garden-variety kind of way. (Don't worry: your chairs will always be trying to

gain an advantage in some way. That's their job, just as yours is to evaluate the advantages they seek in relation to the set of resources you have for all of your units.)

The benefits of a fresh start, with people who know you only as dean—not as the pipsqueak straight out of graduate school or the person whose tenure materials they scrutinized—are great. When you have come up the ranks internally, people will have seen you from all angles, flattering and not. If you are an external candidate chosen for a deanship, then you will have much more control of the viewing angles you project. Your colleagues will not have known you when you sported an odd hairstyle, wore torn jeans to campus, or as a first-year faculty member were mistaken for a graduate student. The tattoos that caused a senior colleague or two to look askance when you first got them a decade ago will now make you the "cool dean." And that bruising struggle for promotion to the rank of professor will be known to few or perhaps none on your new campus, as you will most likely carry that rank with you, as long as you achieved it at a peer or nearly peer institution. (Sometimes new external letters will be quickly solicited by your new institution.) It's not just that you are new. Your opinions and positions, old hat to your old colleagues, seem fresh in a new context. Ideas that looked wacky to your colleagues at your former institution might now seem boldly inspired.

There are some big factors to consider before you move, though. Most successful deanships last anywhere between four and ten years. You need to be prepared either to move on to another administrative position (whether lateral or up the chain) or step back from your administrative role to the faculty within that window, which means that long-term planning is essential prior to accepting a position as dean at a new institution. If you come in as dean with the academic rank of professor of mechanical engineering, you will need to believe—really believe—that being a professor of mechanical engineering in half a decade would be a great next (and perhaps last)

career step. Perhaps the place where you get your dean job isn't your ideal geographical landing place or institutional environment. Give that consideration sufficient thought, because it's possible that you'll be there for the rest of your work life, and not as dean.

What makes this equation a more challenging one to compute is that the years you are focusing on being a dean are years you will lose from your scholarly and teaching career. Once you get off the teaching and research track, you will have a hard time proving excellence in those areas to your peers who never left. It's unlikely, then, that you'll be hired elsewhere as a regular faculty member. You'll likely only be hired at yet another university as a dean, provost, or president. Make sure that those possibilities sit well with you. Ideally, you'll have asked yourself whether you'd really want to live until retirement in the place where you've taken a new administrative job, and you'll have answered in the affirmative.

Leaving to become dean at another institution can also provide very strong financial benefits, not only from the salary but in terms of your retirement income. For senior academics who find themselves a decade or so from the time they anticipate retiring, there are interesting possibilities. Leaving an institution after a long career, with full retirement benefits, may be followed by a lucrative decade as an administrator elsewhere. I've known deans who don't even completely move to their new location. They might keep their old lavish home, with equity built over twenty-five years as faculty and administrator at a university in North Carolina, say, yet take a position as dean for a decade or so in Arkansas, buying a small place in Fayetteville but retreating to the Tar Heel State as often as possible and then again permanently after their second stint in administration comes to an end.

As you weigh your options, you should think of your time of life. Who is moving with you? If you have dependents—whether kids or parents—will this move limit possibilities for moving in

the near future? What are your career and financial options in moving yet again in four to ten years?

When looking at other colleges and universities to continue a career as dean, you need to understand from the get-go that you will have little ultimate choice about where you will move. You may have to think "near water somewhere" rather than "close to the coast of California." If you love where you live right now, think deeply about the importance of place to you, just as you did with your first post-graduate school job searches. The more important geography is to you, the more limited your job opportunities will be. So as you look at the ads, let your imagination be somewhat tempered by a critical eye. Advertisements for administrative positions are placed in the *Chronicle of Higher Education*, *Inside Higher Ed*, higheredjobs.com, *Diverse*, and the website for the American Conference of Academic Deans (acad .org), among other places.

Tips for the Interviews

The most useful tip I ever received about interviewing for academic positions is *Do what got you there*. That is, if you make finalist, be consistent, when you're on campus, with what you did in the airport interview. The added complexity is that you will be dealing with many more people when you get to campus, some of whom have completely different expectations—and hopes—for the hire.

If you are traveling a far distance, schedule your arrival so that you get there the evening before the airport interview. Most institutions will pay for one night at the hotel, and this overnight gives you better time to prepare than you would have stepping off the plane and into the conference rooms. Use this night free from distractions to delve deeply into the institution's people and programs, and especially deeply into the careers of the committee members interviewing you. If a search firm is involved,

you'll be told exactly where to go in the hotel at what time. You'll be told whether you should shake hands at the beginning or the end of the interview. You'll be directed as to the mode of questioning, and the right amount of time for each answer. Follow your directions.

The on-campus interviews are different. In some cases a search firm will stay involved and manage your visit, but in other cases the institution's administrative staff will be your primary contacts for the visit. You should receive a detailed itinerary, not only for your travel arrangements but for the two to three days you spend on campus. Read it in advance very carefully, and try to remember, difficult as it will be, exactly whom you will meet, what they do, and what their professional backgrounds are. You will always meet again with the search committee, and you will always have a meeting with the provost. Often there is a social event, like a lunch, with other deans and administrators, and usually you will have some kind of public forum (typically with the parameters laid out for you) for faculty members and staff who are not officially part of the process. Don't be insulted when your host, who may be the chair of the search committee or may be an administrator working for the unit you'd be overseeing, hands out evaluation forms at the open forum and other meetings. Sometimes people begin filling the forms out immediately after the presentation, while you are lingering and talking to other people.

Your optimism, positive spirit, and friendliness are crucial, even when you sense that the person talking to you or asking you questions does not believe you are the right candidate for the position. Remember, you will have to work with everyone. A couple of years ago, one faculty member in a unit in the college tried to score brownie points by telling me all about what a unit director told his colleagues about my campus visit: "He is the worst of the candidates." Bygones are bygones. In that particular case, the unit leader who declared me to be the worst candidate

became a strong collaborator and even a friend. Also—always let people know that one of the steps you'll take your first year is to listen to people and learn about the institution. It might feel a bit obvious to you and embarrassing to say out loud. But it's true and people do want to hear it.

You may hear (positively or negatively) within a few days of your campus visit. Or it could be weeks. If it's over a month, you're probably not the first choice. But that isn't even necessarily the case. You can always ask your contact at the search firm (or, if there is no search firm, the chair of the search committee) for an update. But it's best to wait a few weeks even to do that.

If all goes really well, you will get a phone call from the provost congratulating you and offering you the position. The appropriate immediate response is excitement and gratitude. Many places will offer you the opportunity to come out to campus for another visit before making up your mind. And if it isn't offered, ask for it. Things look different when you're not trying to convince them to give you the job. In this case, they will be wooing you, and you'll have an excellent opportunity to understand better the institution and those you'll be working with as well as the campus and community. It will all happen in a short time frame. If you don't accept, they'll want to move quickly to another candidate. So be prepared to travel for an additional visit with little to no preparation.

Negotiating Terms

If you hope to accept the offer, you will be dealing with an initial set of parameters. You will always want to negotiate. In terms of salary, some deans get paid little more than an annualization of a nine-month faculty salary or a temporary supplement to their regular income. Others are paid in the many hundreds of thousands of dollars. If you are negotiating for your first deanship, you may be profoundly grateful (perhaps to your own

provost and president, if you were an internal hire) and be willing to take whatever offer is initially made. After all, the salary will likely be significantly more than you're making as a regular faculty member or even as a department chair or associate dean. If you want to take the job, then you may not want to make the money the sticking point. You're not doing it for the money, right?

Maybe you are and maybe you're not, but you should be aware that there is a good reason deans are paid a premium above their previous position, whether as a faculty member on a nine-month salary or a department chair or associate dean making more than a typical nine-month academic. The all-consuming nature of and the opportunity costs associated with the dean position ought to have you thinking differently about compensation. There are macro and micro ways of thinking about the salary you should earn. The *Chronicle* annually publishes salary ranges for deans across a variety of disciplines and institutional types.

But even considering these category distinctions, on the micro level there is a wide variation among colleges and universities. At public universities, salaries are often a matter of public record. Early in my career, I thought it was a bit crass to check up on the salaries of my colleagues or future colleagues. I was wrong. A dean at a major state university told me how incensed he was after seeing that he was—by $40,000 a year—the lowest paid dean at his university. Building on his success in the job, he negotiated a substantial raise. He would have been even smarter had he checked before signing on the dotted line and moving to his new university. Do the research. Institutions that want to hire you as dean will always negotiate and will, if pressed, let you know what they can and cannot do, salary wise. If you know what the other deans are making, you are in a stronger bargaining position. If at all possible, negotiate your salary up to a level that brings you into parity with your peers at the institution.

This is especially true if you are a woman. Inequity among administrative salaries has given rise to lawsuits by women deans to try to bring them up to the (male) norm.* Yes, some specific types of colleges tend to pay more (especially business and engineering colleges), but the distinction among colleges does not account for the inequity of salaries between women and men. A dean's work is a dean's work. If you're being paid less, you should know it, know the reasons for it, and make an active decision whether you can accept it. Although it is difficult to take a hard line with the people who just offered you a job (likely accompanied by fawning praise), you need to negotiate. They won't withdraw the job offer because you've asked for more. (And if they do? That's not a place you want to be working.)

What about compensation beyond salary? Benefits are usually nonnegotiable, but moving expenses are negotiable, as are start-up funds. Many relatively small matters can be negotiated, too. Perhaps you need library space to maintain some semblance of research, or lab space if you are a scientist and want to continue your research. You will want the provost to sign off on and approve, as an explicit element of your offer letter, funds for personal research and professional development. This money should be fully separate from the account you use for discretionary support for initiatives in your college. Finally, at some campuses, you may be able to ask for perks like football or basketball tickets, whether for yourself or for the purposes of hosting potential donors to your college.

* Female deans at the University of Arizona have filed suit. See Anne Ryman, "Former Dean Sues University of Arizona, Alleging Gender Discrimination," *Arizona Republic*, January 22, 2018. https://www.azcentral.com/story/news/local/arizona-education/2018/01/22/university-arizona-sued-gender-discrimination-former-dean-who-alleges-she-underpaid-compared-male-de/1054784001/.

Make sure that your retirement benefits and health benefits are the best that are offered at your institution—a glance at the HR website and a conversation with your budget-officer-to-be can provide illumination.

You might turn out to be a dean for life, retiring from the position. Or this position as dean may be as a steppingstone to another leadership opportunity, perhaps as provost or president. Life, though, is unpredictable. Make sure to negotiate in advance what will happen if you are no longer dean but wish to remain at the university as a faculty member. Your so-called retreat rights, or right of return, should specify the department you will return to, your tenure status and rank, and your salary. It may be possible to renegotiate rank, department, and even salary when you leave the deanship, but don't leave the base institutional commitment to the whims of whatever provost and president are in charge when you vacate your position.

Typical salary adjustment would be a return to a nine-month faculty position at 75 percent of your dean salary. You'll be moving from 100 percent of the (say, biweekly) salary for every month of the year to 100 percent of the biweekly salary for only nine months of the year. The math is simple. You can hope that you'll get a bit more, or that your institution will thank you for your dedicated service by letting you keep your dean salary—or, if not all of it, then the nine-month base adjusted upward. But you want to make sure that the minimum acceptable to you to is included in your offer letter. If you are in the sciences, engineering, or medicine, in a field and at an institution in which faculty are expected to win a percentage of their salary from research grants, make sure that this expectation does not apply to you, at least for a base nine-month faculty salary. (You might have the chance to earn summer salary if you get up and running again with grants.)

Institutions have moved away from specifying teaching expectations contractually. You need to know clearly, however, what your teaching schedule will be as dean, and what it will be

if you return to the faculty. For most, it should be the standard teaching load of a typical full professor in the department to which you return—no more, no less.

Finally, the moving allowance: if your actual expenses will be more than the moving allowance specified in your contract, ask if the institution can cover the excess amount. Sometimes the answer will be yes.

Working with Search Consultants

During a search for a position as dean, you will likely come into contact with executive search consultants. Sometimes referred to as headhunters or executive recruiters, these consultants want not only to make their client happy by bringing in an appropriate set of semifinalists and finalists for the various levels of interviews. They want also to be able to tout their ability to scare up large numbers of applicants for a job, because, as with college admissions, the ability to reject applicants somehow confirms the excellence of those who make the cut. Search consultants usually want to convince you to apply. Although university search committees may scrutinize you, search consultants woo you. They try to sell candidates on the institution they are representing. They make you feel wanted. They may try to help you understand how you might become a "good fit" candidate.

When looking for deans, some institutions always contract with a search firm to help them recruit candidates and conduct a fair and full process. The specific consultants for any given search are chosen from the principals and associates at those firms. A number of firms specialize in higher education leadership. These firms often employ former presidents, provosts, and deans as consultants, both for their strong understanding of these roles and, to widen applicant pools, for their extensive connections in the academic world. Jobs that are open to external candidates will always be advertised, regardless of the involvement of an executive search

firm. The ACE maintains a list of these firms: http://www2.acenet.edu/resources/esr_members/.

Don't just send in a letter, CV, and list of references. Search firms are very open to potential candidates reaching out to them, and you can ask to talk to one of the representatives charged with a particular search. Even better, ask someone familiar with your work in university service and leadership to nominate you for appealing positions.

Whether because you reach out, because you've been nominated for a position, or because you've just gone ahead and applied, you will enter the rolodex (that is, electronic database) of search firms. You'll start receiving email messages, sometimes asking you "for your thoughts" on a current search or providing you with information about how to apply. The firms might genuinely be looking for advice, but they are always interested in your application, too. If the email message you receive does not request a phone call but merely says "Let us know if you have any questions," you may not be perceived as an especially strong candidate for the position. Don't let this deter you if you are interested.

On the other hand, if the firm has your CV on file and believes that you could be a serious candidate, a representative of the firm will ask you to set up a conversation in the near future to discuss the position. If the position is at all appealing, set up a time to talk. The worst that can happen is that the recruiter gains a better picture of your abilities and ambitions. It won't be the last that you hear from the firm. Other times you'll contact a search firm because you've seen an advertisement for an appealing position that names the firm that will be "assisting the university in the search." Someone from the firm will almost always get back to you.

Conversations with representatives of search firms are not interviews, even when you're talking to a principal (the senior member handling the search) rather than an associate (a more junior consultant). Conversations can last anywhere between ten minutes and an hour, but the length of the conversation does not

necessarily indicate the strength of your potential candidacy. A smart search firm employee will be trying to calculate how hard to push for you on the basis of what you have to say (and how you have said it). Look at this as an opportunity to learn more about the position and a chance to burnish your credentials. (You can get a bit of the inside scoop about what the search committee is really looking for when you've established rapport with the firm's representatives.) Most importantly, this is a good way to figure out how to highlight the most relevant experiences and leadership qualities in your letter. If you listen carefully, the search firm will provide strong clues about how to put together an appealing candidacy for the position.

Think of your work with search consultants as you would a real estate transaction: the firm is working for the university (the seller) but wants to have a good relationship with the applicant (the buyer). The firms' interest is in finding an exciting pool of candidates for the universities and colleges that employ them. They are paid only when the candidate signs on the dotted line, so, like real estate agents, they are always pushing to finalize a deal. When both sides have signed on the dotted line, the search firms receive a percentage (often 100 percent) of the first-year salary of the person whom they have helped the institution find. Search firms try to build the broad, deep, diverse pools that their clients, the institutions, need in order to feel confident that they've looked at everyone in the world who might be a good fit for the position they are advertising.

Talking to recruiters can be a lot of fun. They conduct conversations professionally, and they are all helpful in providing information about what might be most persuasive in a specific context. The key is to listen to what they're saying, both about the position under consideration and more generally about your qualifications and materials. If you listen, you'll understand what you look like to an external audience. You may lose the sense of yourself as a "special snowflake," but you'll have a better opportunity to serve as a campus leader at an institution that understands and values your

potential contribution. A few of the firms I've worked with have done more: they have provided me with new and useful insight about leadership and about how to understand the match between an individual's talents and multiple institutional contexts.

Faculty members often complain about the expense their campuses undergo when contracting with a firm to assist with a leadership search. Having participated in (and conducted) searches both ways, I heartily assent to the value in making use of a search firm for university leadership positions. Simply put: the applicant pools are much larger and more diverse and the materials come to the search committee in a more consistent, detailed, and informative way.

Major Responsibilities

As an academic dean overseeing a college, whether or not there are distinct units within the college, your responsibilities can be divided into three main areas, including students, the faculty, and academic programs. These areas overlap in a number of ways, but they are likely to remain somewhat distinct as you approach your work. They flow into and out of the budget, which retains a particular fascination for the dean. The following sections lay out the theory of these main areas and how they relate to broader institutional concerns, including relationships with the public outside of the college walls.

Colleges and universities are many things to many people. As Clark Kerr termed it, the "multiversity" includes students, but its functions in terms of research, economic development, and community service extend beyond the impact of its immediate constituents to the benefit of the nation. Even the most student-focused small college's footprint extends beyond the faculty, staff, and students living and working on campus.

Still, most people would understand the education of students as the heart of the work done by colleges and universities. Even

if the average dean's day-to-day work is not dominated by student issues, many deans become even more focused on students as they do their work in administration. As boneheaded as students can be, the overwhelming majority of them care deeply about what they are doing, and even if they are often confused about why they are on campus, they want to be there, and they want to succeed.

If there are no separate colleges on your campus, your students will be all the students enrolled in the college. But if you are one dean of one college, on a campus with a number of deans in a number of academic colleges and schools, you will be focusing your efforts on the students your college claims as its own. These are students enrolled in degree (major, minor, or graduate) programs in the college, and students taking your general education courses (if you offer any) but pursuing their degrees in other colleges. You should be actively present to all students at your institution, but your work will be focused on those taking classes from the faculty members with appointments in the college. Your work with these students—often done in conjunction with a dean of students—will involve everything from keeping them in school to providing them with opportunities for career development once they leave. All this on top of ensuring that they have consistent access to high-quality academic programs delivered by outstanding faculty. The work of the college always centers on the student.

Day to day, though, more of your time will be spent on faculty matters than on direct student support. The heart and soul of our self-governing academic institutions are the faculty, who determine what academic programs a postsecondary institution will offer, who will teach those programs, and how the institution will serve students through education and the world of knowledge through research. The dean oversees hiring and the annual evaluation and career progress of a college's faculty members, including promotion and tenure, and figures out how, or whether, to replace them when they retire or leave the univer-

sity. The dean will approve raises and will work with faculty members when their job performance does not meet expectations. The dean will adjudicate their squabbles with their department chairs and with each other. The dean will provide resources so they can excel in their teaching, research, and service. The dean will work closely with faculty members in shared governance. And most deans will be one of those faculty members, leading as a colleague. Yes, faculty members in the college ultimately report to the dean. But the moment you see them as a "them," you will have lost your ability to lead.

In some cases, the dean will oversee work with the faculty from afar, with department chairs and faculty committees exercising their responsibility to make things run smoothly. But you will likely be meeting different faculty members for different purposes on a daily basis. The college faculty can be your biggest boosters—or your most vicious (and effective) critics. Your overall success as dean will closely track the effectiveness of your work with the college faculty.

If a college or university is a place (physical or, increasingly, virtual) where students connect with faculty members as learners, the learning itself takes place through a curriculum organized into academic programs. But what precisely is an academic program? Faculty members tend to use the term to describe pretty much anything beyond the scope of a term-long course. Whether as an aggregation of courses, or a combination of formal curriculum with para-curricular or noncurricular offerings, a program can be anything envisioned by a department, group of faculty members, or even an individual faculty member. That program in evolutionary biology? It might just be a small group of faculty members in anthropology and life sciences departments who want to attract graduate students to the (formal) academic programs offered by their departments, culminating in either a PhD in anthropology or a PhD in biology.

It is not the dean's role to police (very strongly, at least) the way departments and schools use the word *program*, unless there

is a clear danger that students will be misled. It is necessary, however, for a dean to understand all of the academic (and non-academic) programs offered in an official capacity within the college. Deans should use the word only to refer to academic offerings that have been approved through shared governance, having passed the appropriate review process on both the faculty and administrative ends.

The dean's role with the curriculum offered by the college involves working with shared governance processes to approve individual courses and degree programs; evaluating and maintaining the quality of those programs through different forms of assessment; brainstorming with faculty promising areas for program development; and supporting the growth and development of programs to meet the needs of students and match the ongoing excellence of the college's faculty.

Whenever I hear a fellow dean or a department chair or a provost say "I spent all last night staring at the spreadsheets," I want to call out, "Houston, we have a problem." Your role as dean is to lead a college, not to micromanage dollars and cents. At the same time, managing a budget is a critically important aspect of the role, as essential to implementing academic leadership as it is to functioning as a middle manager. Managing a budget means understanding your current resources, how those resources change year over year, and the different opportunities for deploying those resources. This understanding is absolutely central to both managing and leading your college or school. Yours is an enterprise that relies on human and material resources to succeed.

Even in the smallest of colleges the dean should not be managing these resources alone, however. If you have the resources, your time is better spent hiring a strong staff to manage money rather than trying to do it yourself. If you don't have the resources, then you'll want to collaborate and consult with the staff outside of your office who do. Managing the budget is certainly a significant aspect of doing the job as dean. But there is

no reason to fetishize the work. At heart you, with the help of others, will keep track of ongoing commitments and new commitments in relation to the resources at your disposal to pay for those commitments. Academic leadership requires figuring out ways to increase the resources available to you so the college can take on new commitments while funding ongoing commitments and subjecting all commitments to close evaluation—to determine where to invest, where to maintain, and where to drop initiatives already underway. Making sure that you have the resources to pay for personnel and programs requires effective management of resources; determining where to invest, and where to pull back resources, is strategy. Don't confuse the two.

Finally, the dean has a significant role to play beyond the broad institutional community, with various constituencies and communities that the institution supports and responds to not only locally, but in the region, state, nation, and internationally. On campus you will be dealing with the campus police, with the Greek council (representing fraternities and sororities), and the board of trustees. Off campus, you will deal with philanthropic organizations and individuals, federal agencies, accrediting bodies, international universities, industry groups, trade organizations, state legislators and members of the US Congress, and other individuals and groups who need, or think they need, connection with your institution.

With fully external constituencies the dean's most frequent role is as representative of the college and its disciplines, and in some cases the institution as a whole. When you are representing your institution, your own ideas, as clever and significant as you may see them, take a back seat to your responsibility to forward the initiatives, contributions, and possibilities for collaboration for the college or university as a collective enterprise.

Even if much of your work takes place internally—with other people on campus, some of whom will get to know you very well—keep in mind how you look to outsiders. Even if you have been serving as an associate dean or a department chair, what

you face as a dean will be new. You represent the institution and its highest aspirations. It's great for you to display your personality, including a sense of humor or an offbeat way of understanding the world, but never to the extent that you seem not to represent your current institution. I've known people who wear the school colors every day. That's not necessary, and many faculty members will see that kind of thing as cheesy. At the same time, I remember a chancellor admonishing a dean for wearing a tie representing the opposing university at a pregame event in the chancellor's box. "I went there for my PhD," the dean said, "so I still have loyalty there." The chancellor, a gentle soul with a sophisticated understanding of how universities work, nevertheless replied, "Please remember who's signing your paycheck." The chancellor didn't really care that the dean was more proud of his doctoral alma mater than of his current institution. But the chancellor knew that the donors, students, civic leaders, and faculty members also present in the box *did* care.

Chapter 2

The Dean in the College

The many approaches to doing the dean's work are shaped not only by personality but also by the dean's experience as an academic and a human being. Diversifying the decanal ranks is a priority of most senior leaders in higher education, and as deans increasingly reflect the nation's—and the world's—population, how deans approach their work will change. In this chapter I describe the nature of the work as it exists in higher education today. Finding your place as dean requires accommodating yourself to expectations and also reshaping the expectations of your constituents. The two axes of middle management and academic leadership will shape the role of almost every dean. Your work is learning how to do both roles, negotiating their conflicts and contradictions.

As dean, you are ultimately responsibility for all the faculty members, students, and staff in the units in the college. But you are also typically the direct supervisor of a college-based staff that might range from five (in a small dean's office) to fifty. These staff members will play a critical role in the success of the college—and your own success as dean. Working effectively with the staff you inherit and hiring intelligently when you have

staffing needs will be as important to your success as dean as your vision, brilliance, or tactical managerial competence. Hiring strong staff leadership within the college is of extraordinary importance. Understanding which of the staff who are already there possess special abilities is complicated but crucial. If your daily work as dean is going to be more functional than dysfunctional, then hiring, supervising, revitalizing, supporting, and mentoring the staff is something you will need to become good at.

It's sometimes difficult for a first-time dean to get a handle on who does what. The various roles of people in your office are likely to fall under one of three categories: faculty leadership, staff leadership, and administrative staff. There will be some people who don't fit a neat description, but most well-functioning dean's offices will (depending on size) include people in all three of these categories. It's important to understand that there should be no hierarchy among these categories, even though there are complex reporting lines and areas of responsibility.

Associate and Assistant Deans

Some smaller colleges operate without associate deans or other faculty taking on administrative roles. Most deans, however, will require associate deans, who are typically faculty members taking on administrative work, whether part time or full time, for a limited period or for decades. These positions fulfill multiple roles in the life of the college and university: most importantly, they ensure that faculty members, with their central role in teaching, research, and service, play a critical role in the administration of their institutions. Associate deans will benefit from their work by furthering their own careers, whether they wish to explore opportunities in leadership or whether they just want to do a good job helping the institution do its business.

As dean, an early decision may be whether to retain the current associate deans. If you're coming in to your position from

the outside, it usually makes sense to maintain the status quo, at least until you're up to speed. You'll have enough to learn about the institution and the college's processes. It may be, however, that one of the current associate deans was one of the individuals competing for the job you got. Awkward! Sometimes these passed-over associate deans cannot get out of the new dean's office fast enough. But if they are willing to work with you, you're generally best off keeping them on and forging productive relationships.

If you've been hired as dean from the inside, from the position of associate dean, department chair, or some other capacity, then you have a decision to make. In some cases, you will know well what a particular associate dean does—and you may have already formulated a decision on whether to keep him or her. If you are resolved to make a change, either because of the associate deans themselves or because you are interested in restructuring, let the individuals affected know quickly and humanely. Some universities have a practice of offering departing administrators additional research money or teaching release, in order to more quickly get up to speed with a full-time return to their faculty role. If the current associate deans aren't the right ones for your dean's office, discuss the future with them in an open way. It's likely you'll both agree that with appropriate support a return to the faculty makes sense for both of you. And even if you don't agree, it's almost always the right decision in this circumstance to move on to a search for a new associate dean.

It's complicated recruiting associate deans if you're new to the institution, but running open searches in your institution is a better move than making targeted appointments. With search committees composed of department chairs and prominent faculty, you'll get a lot of help and advice in making a decision. Some people favor looking for associate deans in a national search, but I've always found that odd. It's almost like a vote of no confidence in the college's faculty if you can't envision any of the

faculty members in the college succeeding in the role of associate dean. Hiring from the outside also cuts off a crucial professional development opportunity for your own faculty. And it means that you and the associate deans will all be trying to learn about the university as newcomers.

This should go without saying, but it doesn't. When picking associate deans, don't be afraid to choose the best candidate. Sometimes that will be a senior faculty member whose research profile and experience may match or even exceed your own. Sometimes it will be a star associate professor in one of your departments who has shown what she or he can do in terms of administrative skills and institutional commitments. If you yourself are very senior and this is a posting relatively late in your career, then it would be wise to look to some more junior faculty. If you yourself are relatively early in your career and on the fast track, you might do well to look to some faculty with more experience and recognition around campus than you may have. This isn't about age per se but about a diversity of experience. It's always wise, of course, to look outside of your own department, if the college has multiple departments, for the same reasons. You aren't just choosing an excellent individual; you are building a team of administrative skill and expertise.

Yes, everyone—from the president to the staff members in the college and its departments—will be looking at who you choose, so you're right to be paranoid. You will ultimately be judged on the quality of job the associate deans do, although that takes a while to become evident. In the meantime, you will be judged on the reputations of those you hire rather than the work they are doing. You certainly won't please everyone. But unlike the role of the US vice president, who has become more of a figurehead, the associate deans will be doing much of the work that will determine the success of your tenure as dean. Look for complementary skills, and, based on wide consultation, prefer the team player over the lone superstar.

Staff Leadership

In academic departments, there is a clear divide between faculty members and the staff members who support the academic work of the department (and are often treated unconscionably badly by faculty members). In the dean's office, the line is not so clear. Some staff members, like the budget director, development director, and enrollment manager, will hold critically important leadership positions. When you start, most of the senior staff members will be holdovers from the previous regime. If you're new to the organization, building up strong relationships with these folks might feel strange. As a new dean, you will be working to establish leadership and, as ugly as it sounds, ownership over your position—and, to a certain extent, over the college. A first instinct might be to see these staff members as a barrier to the new start you may want to provide for the college. Reject that instinct if you have it. Work hard to establish mutually respectful relationships with your holdover staff, just as you would with associate deans who will continue their work. This will be a bit different from the way you establish relationships with faculty colleagues, even those outside of your area of specialization. These staff leaders aren't, after all, usually imagined as colleagues in the same way. You are not likely be talking with staff about your shared research interests, or indeed about any research at all. (However, some will surprise you both with their own intellectual interests and accomplishments and with their sincere interest in yours.) Senior staff members may feel at least as strong a sense of identification with the college as you do (or expect to), including with its mission and daily work. They will be doing a lot of the work recognized as *the college's* work.

New leadership is not always welcomed, as it represents change from a status quo to which many have accommodated themselves. People will be skeptical. They may have seen a dean or two prior to you go through that corner office, only to leave for a variety of reasons. They are looking for a dean who facilitates

their work rather than impedes it. Occasionally you will need to change the work or the way they do it. It goes without saying, but give yourself some time truly to understand what you need, and, as you would do with an associate dean or, for that matter, any faculty colleague, include the staff leadership formally and informally in your decision making. You will need to earn the loyalty of the staff leaders you inherit. Your work will pay off when you develop shared priorities that advance the work of the college.

Administrative Staff

The hard work of underpaid administrative staff professionals will keep the college going. Perhaps as a department chair or associate dean you relied on one administrative assistant or a small staff to make the wheels turn. As the dean, you will not only have your staff but may manage a small army of administrative staff members, all of whom are working hard to serve students and make things work effectively, just as you are.

There are a number of ways to organize the staff—and their lines of reporting—effectively. Most commonly the dean will inherit an organizational structure in which the associate deans supervise their staff, and the staff leadership likewise directly supervises their staff. In that way, most of the college's employees will report to someone who reports to you, and people with the greatest stake in the success of employees will be the ones supervising and evaluating them.

One option is to reorganize direct reporting lines according to function. You might have to set up at least one additional large-scale supervisor, who will, most likely, be your own executive assistant taking on the role of office manager. In this organizational scheme the assistants for the associate deans and other purely administrative staff will report directly to the office manager rather than to those (faculty) leaders in your units. To the faculty leaders, the administrative staff will have a

dotted-line relationship. The upside is that administrative staff will be supervised by staff members with experience and knowledge of all aspects of their job. The downside is that the associate deans will not get as much experience with staff supervision and may, in a poorly functioning office, feel that they have less stake in the success of the college overall. Overall, however, reporting lines, annual evaluations, and daily work might be more effective and efficient when reporting lines are organized this way.

Your Assistant

Deans have a special relationship—or should have a special relationship—with their executive assistants. His or her responsibilities will certainly include maintaining your calendar, managing your appointments, opening and processing your mail, and greeting visitors to your office. Some assistants also read and filter email, take notes during meetings, manage the office, manage office staff (see above), and serve as a sounding board on a surprising range of matters.

Unless you are a very experienced dean with an inexperienced executive assistant, your assistant will understand his or her job better than you do. Your assistant may, if you're new to the deanery, even understand your job better than you do, at least at first.

Faculty members who have gone from college to graduate school to faculty positions before becoming administrators will likely not understand how this relationship works, or how it has to work. Indeed, the relationship between a department chair and assistant differs in both intensity and kind from that between a dean and executive assistant. There is one simple rule: always treat your assistant with decency, kindness, and respect, regardless of time, place, or situation. Your assistant is a genuine partner in almost all of the work you do. No, your assistant won't write your research papers. But, yes, your assistant

will give you good advice on people and programs. Listen to that advice carefully and treat it with respect even if it doesn't match your own analysis and doesn't influence your decision.

I am amazed by how many faculty leaders, otherwise talented, treat their assistants poorly. It is unforgivable to do so. Deans who do not treat their assistants well will be less effective than their peers. And their peers will find out. Executive assistants take great pride in their work. They talk to each other and share stories. You will gain a lot of information about your institution from your assistant, even if most assistants aren't quite like the one in Jane Smiley's novel *Moo*, who practically runs the show.

The calendar will structure your day as dean. It will mostly be filled with meetings, some initiated by you and some called by others. Considering your tightly scheduled calendar, you and your assistant should spend five minutes at the beginning of the day to go over your daily calendar and understand its logistics. Obvious enough. Another piece of advice: Do not touch your calendar. Maybe that's not as obvious as it should be. You will screw it up. Always refer someone wanting to meet with you to your assistant. My spouse got a bit exasperated when I told her to talk with my assistant about meeting up with me during the workday, even for a matter as seemingly insignificant as a quick phone call. Nevertheless, your schedule will run more smoothly (at work, if not domestically) if you insist that your assistant be the sole gatekeeper to your calendar. To give yourself breathing space, ask your assistant at the beginning of the week to create calendar events for research, catching your breath, or dealing with email where there is an opening. This practice will prevent other administrators' assistants from seeing a gap in your calendar and filling it with meetings. Ideally, other administrative staff will talk with your assistant before setting up meetings. It's easier to encourage such conversations by keeping a calendar that does not have visible openings.

Giving advice about how to stay on top of email is, perhaps, futile. You can read hundreds of ideas on how people in leader-

ship or management positions deal with email. Inbox Zero! O-H-I-O! (Only Handle It Once). GTD! (Getting Things Done). Email fuels the deanship, but email is like leaded gas. We've got to get rid of it, and perhaps there are ways, but the deanship is a 1970 Cadillac and we need our unleaded fuel. Someday, perhaps, email will be as anachronistic as unleaded gas, but we haven't discovered how quite yet. If your calendar structures your every move, your email will colonize your every waking thought. Quick suggestions: Give your assistant access to your email inbox to weed. Direct your assistant to bring to your attention messages that are important. And, regardless of who's reading it, segregate personal email from work email. The third suggestion is especially important at public institutions. Your work email messages are public documents and can typically be requested through state open records laws. Private universities may have different relationships with records but, in the end, they, too, will have access to your email account. So, as dean, make sure to do all your official business on your university-provided email system, and do *none* of your personal business on your university-provided email system.

Letting your assistant help you manage your inbox will keep it as close to empty as possible, will ensure that you don't miss important messages, and will encourage you to keep personal matters personal.

Budget Director

A first priority should be recruiting to or retaining in your organization staff experts in managing and understanding money who also understand how to work with people. The title within your organization might be assistant dean for budget, or budget director, or something else. Depending on the size of the budget you manage, you might have that director lead staff members who have individual responsibility for the subbudgets of various aspects of your operation. The budget

director needs to understand how all the pieces fit together and needs also to know how you see the college's priorities. You should meet regularly—perhaps weekly—with the budget director and be available to her or him at all times. This will be one of your most important relationships, and it has to involve mutual trust and mutual respect. The good news is that you will be able to find good people, and these people can be a joy to work with.

Whether you are working with a budget of $500,000, $5,000,000 or $50,000,000, you need to learn to ask for advice from your institution's budget gurus, not only on individual spending decisions in the context of the whole but on all aspects of technical administration, including staff organization within the units. Although the lens they use will be the budget, their vast experience looking at the operations of academic and non-academic units around campus make them a veritable encyclopedia of best practices on managing everything from resources to people. The more you genuinely listen to all of your staff, the better job you will do and the better work environment you will have created.

It is important for the dean's budget people to work closely with the staff who are managing budgets within any units reporting to the college You need to figure out their relationship—typically a dotted-line arrangement involving regular meetings so the college's people (presumably more experienced and knowledgeable) can provide advice on the internal operations of the units you oversee. Similarly, you will want the college's budget director to cultivate a close relationship with the provost's budget director and the overall university's vice president (or other title) of management and budget. Here, as elsewhere with your operations, a realistic and detailed organizational chart can help you—and, even more importantly, the staff members who report to you—understand and develop the complex relationships that go well beyond formal reporting in human resource terms. If you haven't inherited an org chart, make one with the

help of your HR person, and then check it with college staff to make sure it conforms to practice.

Meetings

It is an art to run meetings and to participate in meetings. And, yes, those are separate skills. Meetings will typically occupy at least two-thirds of your day. When they learned how much time I spent in meetings, my relatives, and faculty member colleagues, would express disdain. They'd ask me, "Do you really get things accomplished at all those meetings?"

The answer is yes. The modern college or university is an intensely collaborative administrative environment. You will be making decisions that affect the entire institution—well beyond your college's departments, faculty, students, and staff. Including all of the institution's constituencies in decision making, as well as being available to collaborate with them in the decisions they need to make, constitutes the essence of the administrative role of dean in modern higher education. This collaboration occurs much more effectively in person or over the telephone than over email. It is usually better to wait a couple of days to get fifteen minutes on the phone with someone than to spend thirty minutes composing that perfect email message. An email message might or might not be read carefully. But it will almost never have the desired effect on its reader.

I've spent way too much time as dean clearing up ambiguities in email with face-to-face meetings. A much better idea is to meet in person and take careful notes (with your assistant there to help you confirm details later), and then follow up the meeting with a concise and carefully written email message confirming the outcome of the meeting. If the people you met with remember events differently, then meet again. Don't try to hash out your conflicting accounts of the meeting over email.

On a larger campus in a big city, you as dean will be relatively anonymous outside of your own college. On a small campus in

a small town, you will be a public figure everywhere you go. In either case, you will want to build relationships both at the institution and in the community around you. This is one spot where the extravert seems to have an advantage, but that's not necessarily the case. You will as a matter of course get to know people in meetings scheduled by your bosses. But don't wait. Reach out and make appointments for coffee and conversation not only with people with whom you know there is a professional connection but also with people you begin to hear about but with whom you don't necessarily have significant professional overlap, both in academic terms and in terms of their function. Some of these folks will make an appearance in this book (the police chief, for example, discussed below). But you should get to know both leadership and secondary leadership (for example, not only the deans but the associate deans; not only the vice president for students but also the leaders of residential life, Greek life, campus recreation, student judicial officer; not only the dean of libraries but the associate librarians in charge of collections and services). In some cases you will learn more from the second in commands than from their supervisors.

Signing Off

Your faculty colleagues may think of you as a "paper pusher." And, indeed, you have to sign a lot of documents as dean. Other staff members stamp a lot of documents with your signature. After I left the deanship and resumed my faculty position, my former assistant offered me twenty ink stamps of my signature. Twenty. I didn't want them. It's a relief, in many ways, to have my signature in my own control. You will need to decide what documents the staff (both leadership and administrative) will sign on your behalf and what you will want to sign yourself. Fortunately, you don't have to reinvent the rubber stamp. The office will know what the previous dean allowed staff members to stamp with a signature at their judgment and what the previ-

ous dean wanted to consider and personally sign. Knowing this, you'll be in a position to add to or subtract from what your delegates endorse on your behalf.

I ended up wanting to sign for myself anything related to hiring personnel or entering into contracts. And anything that required overturning university rules or usual processes. I developed rapport so the people I worked with knew that if they had any questions about a transaction, they should ask me. We could deal with those questions quickly in a standing half-hour weekly meeting, unless they were really tricky.

Much of the deanship involves knowing what you need to spend time deliberating and deciding and what the machine just keeps on doing in your name. Micromanagers will quickly get bogged down, but on some issues ignoring the problem and letting the staff deal with it will come back to haunt you. Your best initial guides, as you figure out for yourself what suits your comfort and makes you effective, will be past practice, colleague deans at your institution, and peer deans you will get to know through national organizations. Take advantage of these resources as you begin to inhabit your position.

In Case of an Emergency

The spate of school shootings has placed security in an unexpected role in university administration. Some campuses offer active shooter training. If yours does, set up a day for your staff to do the training. If your campus does not employ someone qualified to train your staff, work with campus human resources. Other offices on campus may wish to go in with you on bringing someone in to provide training.

Other extraordinary events to manage include extreme weather, visits to campus by celebrities and politicians, political protests by students or outside constituencies, and national emergencies. Don't go out there on your own, making decisions; on the other hand, as a campus leader, you will in some cases

need to personally intervene. Make sure, as with all things, that you are closely connected to the provost, who will want to stay informed and coordinate responses to emergencies for the entire academic side of the institution.

The campus police won't report to you, but you should get to know the campus police chief, whose officers will be encountering your students and faculty in any number of situations. With the move to making campus security officers bona fide police officers has come the potential for negative outcomes. College campuses are places with a very small number of clearly defined situations. Officers need to be flexible and understand that the goal is to manage a safe campus, not micromanage large numbers of highly intelligent, often not-rules-abiding constituents. When something bad happens, be careful to listen to all sides. There are many perspectives to any encounter between the police and campus constituents. Don't jump to conclusions.

Responsibility for the Faculty

The most important achievement you can have as dean is building and leading a great faculty. If the average dean lasts perhaps five years in the position, the faculty members hired while you are dean will be at the heart of the institution for decades to come. And the careers you will bolster with resources, extend through managing effective processes for tenure and promotion, support through conflict resolution, and celebrate wherever you go will shape the lives of students and the evolution of knowledge in the disciplines that you oversee. It's a big deal.

Successful deans are invariably excellent talent scouts. You will make some bets on particular faculty members—those who are already there as well as on new hires—and you won't always be right. But a bit of extra attention from the dean can make a difference in a faculty member's career and, thus, upon the institution. Promoting excellent hires within your college's units without dictating to the faculty is a complicated but necessary

skill. And even in the hires a dean might make directly, including the leaders of departments and research centers, remaining attuned to the culture of your various units is as important as being able to read a CV for the future and not for the past.

Institutions have various explicit processes as well as their own traditions for faculty hiring. In recent years there has been a trend in which faculty lines (that is, the continuing funding for particular positions as well as the authorization to hire on the tenure track) revert to the larger organization, for example from a department to the college in which the department is housed. If lines revert, then the authorization and budget come back to the dean's office for reallocation. Deans can decide whether a faculty position goes automatically to a department that lost a person when a faculty member took retirement, took a new job, or did not get tenure. At some institutions, particularly smaller ones and those that may have experienced financial difficulties, the lines will revert to the provost's office for central reallocation. Obviously, as a dean you will prefer that lines come back to you rather than to your boss, so you can decide where in the college they are most needed.

From the unit's perspective, the idea that a dean would allocate its faculty position to another department is horrifying. Most departments plan not only on replacing departed faculty members but also on increasing departmental size (regardless of enrollments, strategy, and other factors). You will have more extensive data, or you will pay more attention to it, than the departments. So you will have a better sense of where the allocation of resources can make the most significant impact.

The dean should always let departments make a case, generally on an annual basis, for new hiring. The departments should present to you a hiring plan that lists in rank order the faculty positions desired, and the department chair should have a chance to discuss these positions with you one on one. This meeting will be similar in structure to your annual budget meeting, but the timing will be different. Hiring in different disciplines takes place

at different times during the year. Ideally, though, you will want to be able to authorize searches in July, thirteen months before a new faculty member typically will begin work at your institution. Individual meetings with the chairs, therefore, should take place in March so that you have the months of May and June to consider proposals for hiring in the context of the overall budget. You'll be fudging: using historical data, you will authorize more searches than you absolutely know you have the funding for. There are always a few late spring and summer retirements and resignations, and if you take the average of those departures over the past ten years you will have a ballpark figure for the amount of money you have at your disposal for full-time faculty hiring.

Deans also need at least rubber-stamp approval for hiring (at most institutions) from the provost, who will be curious about what you're up to and might have opinions about it. From your own budget meeting with the boss you should already know, however, whether you will have additional resources for faculty hiring in the coming year or will have a reduced budget, and therefore a reduced opportunity for hiring.

I always had a few fundamental principles in mind when talking to unit leadership. Replacement cannot provide a justification for making any hire to a unit, and it is certainly not an adequate justification to request the same subfield of a departed faculty member. Our disciplines change, and our students' needs change. When department chairs proposed a hire in the subfield of a departing faculty member, I always asked why. The chairs thought I was obnoxious, but I really needed to understand the rationale behind straight-up replacement requests.

Enrollment can never provide the sole justification. In an ideal world, the teaching faculty at an institution of higher education would consist largely of tenured and tenure-track positions. However, most institutions have become dependent (for reasons of cost and flexibility) on non-tenure-track (NTT) instruction. If there are pools of money held at either the depart-

mental level or college level (or both) to hire NTT faculty to teach courses, you can commit to the important idea that all students will get all the classes they need on a timely basis. So you don't need to commit all of your tenure-track hiring to covering current enrollments. Think of the future. The enrollment in a proposed faculty position's classes is a powerful piece of information, but not the only one.

Strategy must play a role in any tenure-line hire in the college. Department chairs need to be able to articulate effectively how any proposed position relates to their units' short-, mid-, and long-term strategies, relating to the state of knowledge in the world and the needs of students over the next twenty years—the amount of time you are committing to the new position.

Deans hear a lot of rhetoric during these meetings, with sentiment or convenience substituting for genuine strategy. And sometimes you will give in and authorize a faculty position that you don't truly believe will make the best long-term contribution to the unit or to the college. These conversations are negotiations in the broadest sense: both parties generally have the best interest of the institution and its students at heart. Your different perspectives will help create better unit-level plans (and therefore a better college-level hiring plan) annually.

The college's associate dean for personnel or the staff member who helps manage faculty positions should be working directly with the units on the timely advertisement and hiring of faculty members. To me, new hiring was one of the most exciting times as a faculty member. So as a dean I was continually baffled by the foot dragging I experienced from most departments most years. Yes, it's true that in the current job market you can hire great candidates well into the spring, basically right before the person would have to move to campus and begin work. But shouldn't we all be looking for the best person nationally for any given position? Shouldn't we design the process so that this mythical best person gets hired?

Deans who have been doing their jobs for decades rather than years are a bit more cynical about hiring than I ever became. People come, people go. Students get taught. Research is completed, some of it important. In the aggregate you're going to make some good hires, some mediocre hires, and some bad hires, and you won't always be able to predict which newly hired faculty members will fit into each of those categories.

Many deans, perhaps for that reason, see their role in the faculty hiring process as pro forma. Yes, there's always the interview with the dean as a staple of the faculty campus visit. But, no, it never really changes the decision that the institution will make on which candidate for the position is hired.

And in reality, deans can't and shouldn't control hiring. You should, though, have some influence, just by talking over details about the candidates for every hire that your units are pursuing. Make sure the justification for a particular candidate makes sense. There are a few common justifications when departments choose the wrong candidates, even for positions all agree are needed. Hiring the student of friends is a common error. Hiring is not the time to pay back cherished mentors for their work in educating the college's faculty members. Sometimes search committees look for someone "fresh" rather than "experienced" (or vice-versa: the mistake can go both ways). Choosing a candidate simply to provide "coverage" in a subdiscipline makes no sense. The disciplines are changing, and even the largest departments can't cover everything. I want to scream when a primary reason given for recommending a particular candidate is institutional "fit" rather than flat-out excellence in the criteria listed in the job ad. It is criminal (metaphorically) when search committees primarily seek a junior colleague to pick up the slack and do all the service (the burden of service disproportionately falls on women and those right out of graduate school.)

Your questioning can deter units from making a bad decision based on inappropriate criteria. And you yourself should take the opportunity to have a serious interview with each finalist for a

faculty position in the college—as a recruiting tool and also to gain confidence in a unit's recommendation. As a bonus, I found these conversations to be among the most interesting that I had as dean, and only through a genuine interview about research, teaching, and long-term goals could I understand what a given faculty member might bring to the department and college.

Affirmative Action

Affirmative action remains a controversial issue among the broader public, but most educators believe that diversity contributes to the best educational experience possible for students and to an institution's opportunity to do the most valuable research. College admissions offices and officers struggle to find a successful balance between ensuring a diverse student body and creating an open and fair admissions process. The issue is just as fraught when it comes to faculty hiring. Most faculty members, and most deans, will say they strongly believe that having a fully diverse faculty, reflecting the population of the country and an increasingly globalized world, supports the critical interests of faculty excellence and the optimal education of students. But the criteria for "excellence" often lie in traditional metrics that by their nature reflect opportunities afforded to society's elite. A department will recommend the hiring of the candidate with the best prospects for winning grants, putting on groundbreaking performances or exhibitions, or publishing in the best journals or with the best presses. And those achievements are, if not *reserved* for people with the elite educations made possible by affluent families, then heavily weighted in their favor. Although departments claim to be hiring for potential, they see that potential reflected in the backgrounds of their candidates.*

*See, for example, Nadia Ramlagan, "Faculty Hiring Dominated by Graduates of Elite Institutions," *American Association for the Advancement of Science,* February 13, 2015. https://www.aaas.org/news/faculty-hiring-dominated-graduates-elite-institutions.

Deans need to figure out where they stand on diversifying the faculty and make sure that their views are compatible with their provost's. There are accepted ways to diversify the tenure-track faculty. If your institution's HR division offers training on best practices for a search committee, make sure that faculty members on hiring committees take it. If HR does not offer training, use some of your discretionary funds to bring in an external expert. It's amazing, when you think about it, that many institutions empower a small subset of faculty members untrained in HR processes to select candidates for what will often become lifetime positions. Search committees need not only training in best practices for what to avoid in terms of asking questions, structuring campus visits, and so on, but an educated approach to looking for and evaluating excellence. With training, and with an increasingly diversified pipeline of newly minted PhDs and postdocs, we can hope that more and more positions are won by candidates from backgrounds underrepresented in higher education.

That's not enough. To make productive change, deans need to understand what they're comfortable with, and what they can convince their provosts to do, among a set of options. The options include targeted hires of specific candidates who will uniquely enhance the excellence of the departments and schools they come into. These hires can be based on tips from particular faculty members which get vetted through the whole unit.

Less radically, deans can authorize hires in areas important to the unit *and* likely to draw applicants from diverse backgrounds. Even when you authorize a search in a field in which it is possible to hire faculty members from underrepresented backgrounds, the search committees may very well find a non-minority candidate to fill them. So it goes. Institutions should always hire the candidates who are best, meaning those who will contribute the most in the classroom, in research, and in service—that is, in their formal job responsibilities.

There are also what units want to think of as "freebies," when a qualified finalist for a position is from an underrepresented background. If the department, dean, and provost are convinced that the candidate will make a strong positive impact, then the candidate can be an additional hire even if not the first choice of the hiring committee, department, dean, and provost.

All of the options described above can be usefully applied. They are all intrusions on the idealized process in which departments determine their needs, select their candidates, and negotiate for hiring. Aggressively employing all these measures will result in a better, more diverse faculty in the college you lead.

Here is what I don't recommend: authorizing searches that pretend to be national and open but, with a wink and a nod, allowing a department only to bring out candidates who have whatever the searched-for underrepresented attribute might be. It is unethical and illegal to advertise a search in which it has been agreed on that the only candidates who qualify are of a particular gender or background. And, believe it or not, it happens. In general, the fake search is not only unethical, it is morale busting. Think about the candidates who, in good faith, go to the expense of sending in materials for advertised positions. If your search isn't real, the institution has used them for its own purposes. That's always wrong, but especially so given the state of the academic job market and the difficulty of landing positions even for immensely qualified candidates.

Contingent Faculty

Institutions increasingly rely on teaching by faculty who are not on the tenure track. In some cases, these are truly adjunct faculty. The *OED* defines the word *adjunct* as "designating a junior, temporary, or casual academic position" and includes citations from the eighteenth century to the present day. The American Association of University Professors (AAUP) prefers the term *contingent* faculty, because adjunct means "temporary and casual"

and because so many of the non-tenure-track faculty members who are teaching students in higher education are neither temporary nor casual, at least from their perspective. Contingent faculty members may be teaching full time (for one or more institutions) and may make a career out of their work.

Over forty years, from 1975 to 2015, the percentage of the academic labor force consisting of tenure-line faculty fell from 45 percent to 30 percent.* Most deans will express dismay over these numbers—while presiding over academic units that more and more rely on contingent labor for reasons of cost and flexibility. Deans have some, if not unlimited, opportunity to reverse these trends or to maintain or even accelerate the destruction of the tenure-line faculty as the backbone of the institution. This is one of the issues—perhaps the most important issue currently—in which your roles as middle manager and academic leader come into conflict.

The manager in you will be able to see a few phenomena and their impact pretty clearly:

1. The academic job market is overcrowded with highly qualified candidates, which means that your units will be able to hire great faculty members for contingent positions, whether full time or part time. If you are dean at a doctoral-level institution, many of your units will be able to hire your own recent doctoral graduates and call the hire a postdoc.
2. Contingent faculty can be hired when needed to teach required courses that the regular faculty either do not want to or even cannot teach. On the positive side, if your institution has strong enrollment, you can create a strong, if bifurcated, faculty consisting of experts who get to

*American Association of University Professors, "Trends in the Academic Labor Force, 1975-2015," March, 2017. https://www.aaup.org/sites/default/files/Academic_Labor_Force_Trends_1975-2015.pdf.

teach what they want and a highly qualified contingent faculty to teach everything else.

3. If your college's departments have weak or fluctuating enrollment, you can avoid overhiring on the tenure track, which represents a permanent commitment. We can all see the enrollment trends that have led some institutions to disband certain majors.
4. The contingent faculty you hire, even full time, may not have the same responsibilities for research and service as the track faculty. You can get more teaching from them at a lower cost.
5. In some disciplines, clinical faculty members without tenure but with professional experience can be more effective faculty members than tenure-track faculty. In health-related areas, journalism, engineering, law, and other professional and preprofessional schools, some percentage of faculty whose primary qualification is practical expertise rather than publication of scholarship can be effective not only at teaching classes but at shaping curriculum and doing the work we have tended to associate with track faculty. Full-time, competitively compensated, clinical non-track faculty can be beneficial in nearly every discipline.

The academic leader in you might balk at the first three points, be intrigued by the fourth point, and accept, in a limited way, point 5. The academic leader in you might therefore see that the rise of the contingent faculty can do grave damage in several ways, for institutions large and small, community colleges to doctoral research institutions.

1. The system is corrupt and unstable. If your college contains units that provide graduate degrees, your doctoral degree recipients are not finding the positions they hoped for when they entered graduate school. Even if your units believe they are informing students of the

risks as well as potential rewards of spending up to ten years pursuing a doctorate, those students are being taken advantage of. Faculty members enjoy the prestige of having doctoral programs (as does your institution), and they enjoy teaching doctoral seminars in their sub-areas of interest. But teaching doctoral students leaves faculty less time to teach undergraduates and increases the need to hire contingent faculty members to teach those undergraduates.

2. If, on the other hand, you preside over units that teach undergraduates only, or undergraduates and master's students, your use of large numbers of contingent faculty members is likely altering the culture of those units. Do all teaching faculty get a vote? Do all teaching faculty have the same teaching schedule and set of expectations? If not, then you are presiding over a two-tier system in which faculty members are being compensated in grossly different ways for the same work of teaching.
3. To create a *really* level playing field, contingent faculty members would have the same workloads and shared governance rights and responsibilities as track faculty, and would earn $20,000 to $30,000 more than track faculty per year, along with the same benefits and perks as track faculty. Offering that package to incoming faculty—$20,000 to $30,000 additional annual salary for joining as contingent faculty—would make for an interesting experiment. I don't think many people would, even in that situation, opt for contingency.

Building institutions around the expertise and responsibility of the tenured faculty is one of the reasons American higher education is the envy of the world. As institutions pursue chimerical excellences, including admissions selectivity and raw numbers of external research dollars, they are undermining the one

resource that makes those and other bragging points possible: an appropriately compensated faculty, self-monitored and committed to academic excellence in teaching, research, and service to various communities.

There remain some complicated budgetary questions, especially in units that teach large numbers of students in so-called service courses, especially first-year composition and college algebra. Some institutions have separated these and other large-enrollment introductory courses from the departments that have offered them. If you are a liberal arts dean and create, for example, a department of college math, that department might end up hiring only non-tenure-track faculty, who might teach a moderately increased workload for compensation that rivals what's offered to faculty on the tenure track in a research-oriented mathematics department. Or you scale college algebra so that instead of a small course in which instructors get to know their students, you have faculty members teaching a hundred students at a time, with low-paid peer tutors to help the students along. You might even convince yourself, with the help of outcomes data, that it's just as good for the students that way.

The middle manager always creeps in. Resist, when you can, the middle manager. The long-term health of our colleges and universities is at stake.

There is one category of non-tenure-track faculty that a resourceful dean can tap for a number of purposes: retirees, whether from your own institution or another, whether from your own community or from countries across borders. Many communities include retired faculty members who may have excelled in teaching and research. They retired because they wanted to, since there is no mandatory retirement age for faculty members in the United States. (Retired faculty members from other countries that *do* have mandatory retirement can also be appealing as hires, less for adjunct positions than as high-profile researchers who want to continue university careers but cannot at their former institutions.)

Retirees from departments in the college may ask to continue to keep their offices and labs. If they are active researchers, and that activity is valued at your institution, then agreeing to this request may be a cost-effective way of bolstering the college's research numbers. However, if they just don't want to move all their books and equipment, you will have to weigh the benefits against the costs carefully. And it's useful to have a policy, so that Professor X can't complain that he couldn't keep his office when Professor Y was allowed to maintain hers.

These complications can be outweighed by the contribution that retirees can make, both in teaching classes—whether in their specialization or in general classes they may be able to teach as well—and in conducting research. There is also something very healthy about multigenerational department life, in which beginning assistant professors can be mentored by faculty who have seen it all, whether they are retirees from your institution or another. An institution located in an appealing place may be surrounded by a community of faculty members who have retired to that area from elsewhere in the country. Often these people want to be involved, whether to benefit from attending lectures and other intellectual events or from taking on a class to teach.

Partner Hiring

There's little that divides otherwise friendly colleagues more than partner (or "spousal") hiring. For the dean, figuring out how to do this (or not to do it) can be a delicate balancing act. Yes, there are rules that might apply, depending on nepotism laws in your state. The size of your overall faculty is another key factor. And cultural issues are at stake, particularly if both partners are in the same small department.

However, it's more emotion and belief than practical benefit or evil that divides academics on partner hiring. Some professors (and some administrators) think it's a violation of academia's inherent meritocracy to hire faculty members just because they

are in a committed relationship with another professor. Some faculty members have partners who never managed to get hired. And some faculty members attribute the breakup of their relationship or marriage to the couple's inability to find good jobs in the same location. These people can be bitter and may reject the hiring of any partners or spouses.

Regardless of preferences or ethics, partner hiring is an issue most deans will face. The *Chronicle* includes periodic blasts on the issue. A piece from 2000 quotes a dean saying that 80 percent of faculty hires include issues of employment for partners. A 2010 piece by a Johns Hopkins dean relates some of the practical considerations.* Many provosts will have both a policy and a personal attitude toward partner hiring. They will also have a pot of money (to support partner hires, possibly for a limited duration, possibly permanently, but usually as a match to money that deans will contribute). It will be useful for you as dean if the college has a codified policy and, if you favor spousal hiring, if you have a college-level pot of money. Under these conditions people will understand the rules and you can afford to hire partners when you want or need to, either as a match to the provost's pot or on your own.

A crucial first step is for the dean to understand the department chairs' perspectives. I found it useful to discuss the situation immediately with the chair of the primary hire—the person whose job offer or other new situation has prompted this discussion. First and foremost: How important is the primary person to the department, now and in the future? If the answer is "very," then you need to find out what kind of role the partner seeks. It's much easier to find, or create, a staff position or a

*See Elisabeth Perry and Lewis Perry, "Two Academic Careers and One Fulfilling Job," *Chronicle of Higher Education*, March 17, 2000, and David A. Bell, "The Intricacies of Spousal Hiring," *Chronicle of Higher Education*, May 13, 2010.

non-tenure track-faculty position than a tenure-track or tenured position.

Once you know where the partner would go, and what his or her qualifications are, you need to discuss the situation with the partner's prospective chair (or dean, if the position will be in another college). You will assess whether the partner has the appropriate qualifications (at a minimum) for the position contemplated, and you will ask directly whether the department (or administrative unit) into which the partner would be hired needs—and wants—the partner.

If the partner is qualified and wanted, then the policy should kick in. The informal discussion you've had with your chair or chairs and with the other dean are not enough. You'll want the partner's prospective unit to weigh in as it would with any other hire. This means that the partner should have a typical job candidate visit to the department. If it is customary for a search in that unit, there should be a hiring committee, an itinerary, a scholarly talk, a teaching demonstration, departmental interviews, and an interview with the dean, followed by the standard means of gathering responses from the unit. Sometimes this will be a vote by the whole faculty, sometimes a poll of an executive committee, sometimes the word of the chair (as influenced by the opinions of the department).

It can be very frustrating if the partner's prospective department says no. In this case, there's little you can do other than wait for karma to strike: when that department comes to you looking for accommodation for someone they want to hire, you might say no . . . or you might extract additional resources from the unit to help pay for and support the partner, even when it's for a different unit or different college.

Senior Faculty Searches and Endowed Chairs

The dean has a larger than usual role to play when endowed chairs or, to a lesser extent, senior faculty more generally are

sought. Most institutions have only a small number of these positions, and you may be looking only once every few years.

Ensure broad participation, even when the endowment or position description mandates a narrow specialization. Even within a seemingly narrow range of research, any of a great variety of approaches may be relevant and can benefit your institution as a whole. Don't let the units operate under the assumption that the endowed position is "theirs" (unless, of course, the bequest truly stipulates that the unit has sole control). Try to create search committees composed of faculty from different units. And make sure that you as dean thoroughly vet all of the candidates yourself, through interviews and through conversations with the chair of the search committee and other expert faculty members.

I believe strongly in going outside to fill endowed positions, unless you are at one of the top ten schools in the field in which you'll be hiring and would have difficulty hiring anyone better from the outside. Too often at less distinguished universities an endowed chair becomes a bargaining chip in the ceaseless struggle between big-ego faculty. (Of course, if a donor has given money for a specific professor, you will give the endowment to that person. But if the endowment papers allow for it, look nationally, even internationally.) A named professorship can help you attract the very best—even people you might not have thought would be attracted to your institution.

Don't just run a standard search, with an advertisement, a search committee, and so on. That is a very lame tack and usually results in a mediocre hire. Work closely with your unit leadership and prominent faculty in the field to develop a short list of excellent candidates, perhaps three in ranked order. Invite them one at a time. If you like the first choice, work on that person and don't move to number two until either number one has said no or you are assured that number one did not make a strong enough impression to try to hire. Target and recruit the best. This is not an "if you build it, they will come" situation.

Students

At many institutions, student services are run like a machine. As much as the amorphous public moans about campuses spending money on lazy rivers, students want great recreation centers and active social lives, and they choose to pursue undergraduate degrees where they think they will have fun. Your institution, like others, has probably been focusing on simultaneously enhancing the student experience outside the classroom and in academic offerings and support. Understanding how it all works, or doesn't work, is a critical way in which you'll find your place as a dean.

You will never feel less in charge than when you focus your efforts on the well-being and success of students enrolled in your college. As dean, you are primarily responsible for their academic opportunities. You will be judged on their academic success (by graduation rate and other metrics and by student outcomes, including prestigious national and international fellowships and placements in graduate schools). If the students in the college fail, you, too, will be deemed a failure. It is therefore frustrating that you can exert relatively little control over what your students do on a daily basis, since it certainly isn't all classes and homework.

Robust structures are generally in place to address the student experience, including everything from pre-enrollment orientations to commencement ceremonies and festivities. It will be difficult for you to handle all of these activities, so make sure there is someone in your office to coordinate and support them, whether an associate dean or director reporting to you or someone from one of your units you can appoint in this role for a term or so.

Career Services

Parents read articles about the growth of administrators on campuses and understandably link the tuition bills they are paying to the many employees who don't do any teaching. At the same time, parents are terrified that their children won't emerge from four to six years of study with a decent job and prospects for a

productive career. Career services are where this contradiction may meet up. Like other student services, career planning has grown up oddly at most institutions. Often paid for by student fees gathered centrally, institution-level career planning offices are sterile places crammed with resources but perhaps not great support for students who have no idea where to begin. Departments may try to fill the gap by maintaining alumni networks of majors who have gone on to various careers. And certain colleges on larger campuses, especially colleges of business and engineering, may operate highly professional career services offices that segregate their students from the rest of the institution's riffraff—and, at the same time, hoard connections with employers, reserving plum entry-level positions for their college's own students.

The students especially left out of the uncoordinated growth of separate career services offices are graduate students and liberal arts students, including the entire range from fine arts to physical sciences students. As dean, your primary focus has to be the students pursuing majors and graduate degrees in the college you serve. You'll need to know what services and personnel exist to help them at the institutional level as well as at other colleges at the institution, if there are any. Fixing career services is complicated for any dean, let alone a new dean. New services like Handshake (https://joinhandshake.com/) may help your staff build up resources quickly. But for the institutional advantage you will want to provide, the long, slow work of building connections with industry locally and nationally, forming internship programs for students, and cultivating alumni will pay off for your students and for your college.

Curriculum

Curriculum is a strange affair. It typically develops by accrual rather than by parsing data, taking time for deep reflection, and consistently engaging with national best practices. (An important exception is with curriculum developed in close collaboration with national accreditation organizations; see below).

Unfortunately, most university academic programs, even those that are professional and accredited, reflect the creative energies of the faculties that imagined them—without guidance from a firm editorial hand motivated by the goal of ensuring coherence for students. Deans can play an important role in simultaneously encouraging the faculty to think *better* while resisting the impulse to allow curricula merely to become bigger. It can't be emphasized too much that once an academic program is on the books, it's not only nearly impossible to get rid of but also becomes a prime justification for the departments' faculty recruitment requests: "We need a new assistant professor for our nationally ranked program in eighteenth-century culture to teach the graduate course on the eighteenth-century public sphere that's on the books and so central to our doctoral students' education." The new curriculum that looks like a clever add-on soon becomes the monster that devours all resources.

Colleges and universities have tried many different schemes, often under pressure from their boards and, for state universities, even the legislature, to whittle down our unwieldy catalogs of courses. Even if the pressure has come from people ignorant of how curriculum works, there are good reasons to work toward offering a set of regularly taught courses that make a coherent contribution to a well-thought-out academic program. Most of the rules for mothballing courses are based on looking through the records. For example, one system decrees that if a course hasn't been taught in three years, it's automatically moved from the catalog to a course purgatory. If the course needs to be taught again, it can be brought out of purgatory more easily than being proposed as a new course. Another system suggests that if a degree program graduates fewer than ten students over a two-year period, that degree program must undergo a formal review that might lead to its termination. The theory here is that especially in an age of electronic communication, not every college has to offer every kind of degree to students, and the numbers don't lie about where a particular institution should focus its scant resources.

Unfortunately, these formulaic methods don't usually work. They are easy to game and, although masquerading as objective, they become, in practice, nearly entirely political. To keep a course on the books, faculty members negotiate how to teach it at the right frequency and obtain the stipulated minimum enrollment. Advisers push students into degree programs because the programs are there, rather than because they are the right programs for individual students.

In the next few pages I discuss different kinds of academic programs that deans typically have within their colleges and share some thoughts on how deans might approach building exciting opportunities for faculty and students while maintaining a realistic set of offerings based on their excellence and their value to students. Academic programs need primarily to remain in the purview of the faculty members who create and teach them. But deans, with their administrative responsibility, their knowledge of curriculum inside the university and nationally, and their eyes on the budget, student retention and completion, and a host of other data, can be effective partners with college faculty in providing excellent programs.

Change needs to occur at the very basic level of determining which courses faculty members will teach. Right now, too many departments offer the curriculum that small subgroups of faculty members volunteer to teach. A survey will go out annually: "What do you want to teach next year?" If the unit has a minimum of discretion (or shame) it might change "want" to the more neutral "plan." The result is the same either way: each year witnesses an incoherent set of courses that might or might not align with the needs of students to fulfill courses required for the major. Faculty members have a (fair enough) interest in teaching classes closely matched to their research expertise. This fits the proclamation of research universities (at least) to put an expert in every classroom.

But what constitutes expertise? Some faculty balk at teaching undergraduate courses outside their microspecialties. A

ridiculous example might go something like this: a faculty member tells his department that there is only one course in which he maintains up-to-date knowledge: self-help writing, its history and practice. (He has written articles for a national publication and published a couple of books on the topic.) He could only teach such a course at the graduate level, he maintains. So, irrespective of student demand for such a course, the course remains on the books annually for a number of years.

Across the university students take courses because faculty members decided to teach those courses that semester. Deans and chairs need to develop systems in which faculty members teach courses that best serve the students in terms of knowledge and time to degree. Deans can help departments via data. A good dean will capture and provide data on what courses students flock to and what courses students need to complete their degrees. Chairs can organize systems for fair distribution of those courses, asking: "Of these courses that we need taught, which are your preferences and in what order?"

The Major

Like much of what happens at North American colleges and universities, the academic major was a creation of nineteenth-century research universities. The major represents a compromise between a broad liberal arts education grounded in traditional humanistic knowledge and the specialization of faculty expertise that grew out of research universities and, especially, their focus on the sciences. Of the total work that undergraduate students do to earn their bachelor's degrees, an academic major takes up between one-quarter and one-half. Programs that prepare undergraduates to practice within established professions—nursing or engineering, for example—require a higher percentage of courses to be completed in the major. Traditional liberal arts majors, including in subjects such as art history or sociology, generally require fewer course credits to complete. In all cases, faculty and administration generally agree that we have

an obligation as educators to produce life-long learners with flexibility in critical thinking, communication skills, confidence with numbers, and ability to organize and interpret data. We know that much of the raw knowledge that students acquire during their courses fades even as the flexibility in thinking they develop continues to grow.

But how to translate high general aspirations into a practical set of courses that helps students fulfill these objectives while acquiring subject matter proficiency? A dean will in almost all cases inherit an already unruly set of academic majors. What should your job be in managing these majors while leaving space for faculty to continue to think creatively about the programs they can and should offer?

You will possibly have on your staff an associate dean, an assistant dean, or a director of undergraduate programs. Early into your deanship you can charge that person with producing a concise report showing data on what majors students have gravitated to over the past decade. Look for trends rather than blips, and then correlate those majors with the number of tenured and tenure-track faculty within the departments offering those majors. There are reasons, other than the relative popularity of a major over a short period, for the number of faculty members in a unit, including research productivity, consistency with a university's mission (especially so in religious institutions), and service in general education or university-wide requirements. But know what you're working with.

Look at your units and their majors. Some units might be popular with students but might offer a number of majors, including some that enroll far fewer students. How are faculty members distributed in terms of teaching the courses? In especially large departments or interdisciplinary schools, one subset of the faculty may be teaching an extraordinary number of students while another subset clings to "its" major, which few students may take. I think of all these data as defensive data: you're not likely to use them when you're talking to chairs about issues that

matter to the college. But when departments use a version of the data to support something that, in your reading, doesn't make sense (say, a new faculty hire in a sub-area with small numbers of students and dubious research productivity), you'll have your own numbers, put together by the college's curriculum or institutional research team.

Your role shouldn't just be gatekeeping. You should be talking to deans at other institutions about program development. In some cases, your peers won't speak up about especially innovative programs, hoping that they will attract students or national attention through their uniqueness. However, deans are a pretty collegial lot, and you may get some very good ideas from what peer institutions are doing.

Some of your bosses might want to dictate in this way: "Microbiome is big. Hire fifteen new faculty members and put together a curriculum and research program." (That is, believe it or not, a real-life example.) It is healthier for the dean to brainstorm in an open and creative way with unit leadership. Your chairs will know if they have faculty who might be interested in building something new and valuable. If so, you can use discretionary funding to seed a small group of faculty members to think about a new major or other program of study.

Governing boards that approve academic programs are more and more looking for evidence of a program's long-term viability. You may be asked to do market research. This research gives you information to convince your superiors to approve a program and helps you grasp the number of students who will be interested. The units tend to be a bit optimistic. Remember: the students have to come from somewhere, and if that somewhere is the programs you already offer, you need to be able to plan for that contingency, too.

The Minor

The academic minor is an underappreciated and underutilized tool for providing students with a coherent and useful set of

courses that complement their majors. The trend in recent years has been to encourage students to take a double major or even a triple major. And the minor is less exciting to academic units, which tend to see those students as belonging in an administrative way to the program in which they are majoring. But in an era in which enrollments really matter—and in which some traditional majors are becoming less popular, particularly in the arts, humanities, and qualitative social sciences—the minor can serve students and garner credit hours.

Minors cost almost nothing to run for departments that have course capacity at the upper division, beyond what their majors have to take. Departments understand this fact, which is probably why most minors are cut-down versions of the major with nothing distinctive about them. There is a real growth opportunity in designing minors that complement majors in other colleges, however, whether it's a liberal arts minor tailored to a professional school (for example, German minor for international business majors) or a professional school tailoring a minor to a liberal arts major (public policy minor for political science majors). A huge set of potential options exist, of course, among health care, engineering, business, and policy schools at the undergraduate level.

Certificates

I have found certificates, particularly at the undergraduate level, to be of less value than minors. Certificates, like minors, require a set number of courses (akin to the number required for a minor, but, for complicated certificates, sometimes many more courses). Certificates tend to be more interdisciplinary, allowing for experimentation in the curriculum across the divides of department and discipline. To make interdepartmental curriculum work, one unit (and its administrative staff) needs to manage the certificate, but doing so becomes complicated when another unit has a significant stake in the certificate's success (and in the numbers of students drawn to the certificate). Almost never do these

certificates pay off in terms of new students served and tuition generated in a college. But they can be great spaces for innovation. As universities move, whether explicitly or implicitly, to more competency-based assessment of student progress, interdisciplinary education will become less exotic. The benefit in a cost-benefit analysis probably won't be student numbers, but it might be headlines or an extraordinary opportunity for student or faculty cooperation across boundaries. As a dean, you may want to promote creation of certificate programs both inside the college and across colleges with fellow deans. And the college may end up having to adjudicate disagreements among the units cooperating on certificate programs. Many important and established major programs, even departments, began as certificate programs, including women's studies, African-American studies, sustainability, and other areas across the institution that challenge the canons and pedagogies of the traditional departmental disciplines.

Graduate Programs

The processes of administering graduate programs differ from institution to institution. A traditional model at research universities empowers a graduate school to administer graduate programs, seen as distinctive in terms of faculty qualifications (the graduate faculty), curriculum, and process. Many institutions even have separate shared governance bodies for matters related to graduate education. Serving as graduate dean at the University of Missouri made me sensitive to the unique role that graduate programs play on campus and the benefits of identifying those programs with the institution at large rather than with the departments whose faculty teach them.

Many deans don't know much about what a graduate dean or graduate school does. Some universities periodically attempt—occasionally with success—to minimize the scope of the graduate school or to eliminate it altogether. For various reasons, the

graduate school, like a dandelion, can be removed from the soil, but soon enough it will rise and bloom again.*

My best advice to deans is to get to know your institution's graduate dean, if there is one, and learn what the graduate school can do to help your departments and programs manage their degrees and support graduate students in your departments. That's in your college's interest as well as the graduate school's.

But if that isn't an option, and the college and its departments are the primary service unit for graduate students, then deans may consider appointing someone on a full-time or part-time basis to support graduate education at the college level. Your departments are likely very proud and very jealous of their graduate programs, which, at the master's level, might generate needed revenue and which, at the doctoral level, will be intrinsically linked to the identity, reputation, and success of the faculty and the department as a whole. But here are a couple of key points: the only way a graduate program can generate money for the unit and college is if it is designed to serve paying students at volume. Departmental enthusiasm for master's education wanes when faculty members realize they will be teaching material designed for the professional success of the students. (There are exceptions: Ivy and near-Ivy private universities can make a killing even in the liberal arts by attaching their prestige to mass-market offerings that may even employ non-regular faculty—or perhaps regular faculty who have generous grading support—to teach the courses.)

Doctoral education is a big money loser. Moreover, unless your PhD programs are bucking the trend of a dreadful academic

*A recent example, close to home for me, is the University of Missouri. See Doug Lederman, "Missouri-Columbia Plans to Close 12 Graduate Programs," *Inside Higher Ed*, May 17, 2018. https://insidehighered.com/quicktakes/2018/05/17/missouri-columbia-plans-close-12-graduate-programs.

job market—or, like some engineering programs, send those who attain the doctoral degree to well-remunerated positions in industry—you should think carefully about rightsizing your programs. That generally means reducing them, which generally implies decreasing resources to support teaching assistants. "But where will we get our lower-division instructional support?," faculty ask. To my mind, any program that thinks of its doctoral students as cheap labor should be abolished immediately. It's not cheap, for both direct and indirect reasons, as faculty members know. Institutions pay stipends and tuition waivers for doctoral students. And the salary we pay faculty to teach these students could have been used to pay those faculty members to teach more profitable undergraduate students. But most importantly, all graduate students need to be students first.

One opportunity with graduate education is to develop useful (to the students) 4+1 programs in which your undergraduate students can take some graduate-level courses in their senior years and then spend one intensive year acquiring a master's degree in the field in which they are pursuing their undergraduate major. There's a bit more leeway here, as you can deliver a typical academic master's degree in a 4+1 program and attract paying students. But even the most liberal of liberal arts fields, including history, philosophy, literature, and the languages, can and should be developing master's degree programs that support students' professional development.

For a dean, graduate education may be more about managing budgets, managing workloads, and managing complicated students than about managing curriculum.

Enrollment, Scheduling, and Academic Programs

All institutions—even the richest universities and small colleges—are dependent on enrollment. This is only natural, of course: if ultimately higher education exists to serve students, it would be odd for enrollment management not to be a key element of the work of everyone employed by the institution, at least in an

indirect way. For the dean, enrollment management is a direct responsibility, even if your institution's chief administrator for enrollment management is a vice provost or vice president with no reporting relationship to you. Enrollment management has a direct link to budget and resources, which I discuss below. In this short section, I discuss the more managerial function of the dean's office: making sure that the right courses are offered so that students get the courses they need to progress and graduate.

Your office—and, in larger dean's offices, the associate or assistant dean or director to whom you delegate these tasks—should keep and analyze data on enrollments. Most of the work managing enrollments needs to be done at the departmental level, as with scheduling. But your office should keep running spreadsheets of data related in the aggregate to changes in enrollment on a term-by-term basis at the college and unit level. These data should be compared on a regular basis with trends in institutional enrollment. All of this information will help you make decisions about authorizing new and replacement faculty positions. More importantly, the data will help you understand the complaints that will inevitably come in from students (and their parents) frustrated that a needed, or desired, course is not available to a student in a timely manner.

These data will also be available to the college's advising staff. Although most advising is handled at the unit level, the dean will need to have at least one person (and in larger colleges, many people) available to help students who aren't getting what they need from the units.

An associate or assistant dean may also be responsible for issues that bubble up from the units, sometimes including academic integrity, discipline, and other elements of student life that don't automatically go directly to institution-wide offices. The best way to think about it is to view your own personnel and data as resources for the units. The folks managing enrollment in the departments—and doing all the scheduling—are often overwhelmed by complexity and are pressured by faculty members.

The dean's office and its staff can keep morale up and offer tangible support for the underpaid and overworked staff members trying to make the units run.

Scheduling—meaning putting courses in classrooms on days and times that make sense for the students who need to take them—is an important and complicated aspect of enrollment management. Scheduling courses can best be done at the local level, but the local level is generally not fully plugged into the arcane world of facility management that underpins effective course scheduling. As dean, you may be frustrated when your institution, for the sake of efficiency, manages which classrooms are available to which courses at the central rather than college level. When business gets the plum technology-enhanced classroom in the humanities building, there's good reason for departments to complain.

Faculty members can think as creatively as they'd like about pedagogy, but if there aren't any large lecture halls available (or small seminar rooms, or whatever size they're looking for), then they'll end up teaching the same classes in the same way in the same size room that the people who hired them were teaching those same classes thirty years before. The associate or assistant dean needs to understand completely how scheduling works on your campus. And if you can bring yourself up to speed, you'll understand when to have sympathy for your units and their difficulty in offering the classes the curriculum requires and the students need; and you'll understand when to call *bullshit* on scheduling requests that are self-serving rather than student-serving. (I once heard a colleague claim that the department absolutely had to deliver its curriculum in seventy-five-minute chunks, rather than fifty-minute ones, in order to teach its material responsibly. To that claim, a canny administrator replied, "If that's the case, then the graduate students in your discipline who are teaching your lower-division courses in the field in fifty-minute classes really ought to be moved into the seventy-five-minute slots, and your regular faculty moved to the fifty-minute

ones, since it makes sense that the most experienced among them would be best poised to do the most responsible job.")

In some cases, the colleges themselves (meaning you as dean) will control scheduling for certain spaces on campus. Understand what those spaces are and what policies will guarantee fair access and the greatest amount of use. It is a truth universally acknowledged that *space* can stand in for *budget* on the list of "things I want to control and call my own." Don't fall prey to this, since the college's research centers and departments will regularly be making pressing (and sometimes exaggerated) claims for their needs for space. You will have to assess competing needs, consider creative ways to share, and keep the overall service to all of your units in mind. Yes, maybe a particular unit does need two hours a week for a meeting space accommodating twelve people. No, that doesn't mean it should be in charge of scheduling that conference room.

The Complicated World of Advising

How student academic advising functions in the institution, the college, and the departments is closely related to management of the curriculum. There is no simple curriculum economy of supply and demand where courses are the supply and students are the demand. Advising is the critical link between what students take and what courses are offered. If your institution has done a student survey or other assessment on the quality of advising students receive, make sure to look at it carefully. Except at the smallest of small colleges, where advising may be split between faculty for academic advising and a central staff for other student services, including counseling, careers, and extracurricular activities, advising for students is a mess. Larger institutions may have dispensed with the notion that a faculty member can provide useful advice at all, and academic advising may be distributed to professional advisers whose work often consists of meeting a stream of students in fifteen-minute blocks to make sure there is a reasonable chance that the courses they are about to sign

up for could lead to degree completion and graduation. What passes for advising at these large institutions is largely concerned with managing complex schedules rather than listening to students and offering suggestions for courses they might benefit from.

If the college contains multiple departments, it is likely that advising has been housed within them. Departments like to have their own advisers, both to push students toward offerings within the department and to have some personnel on hand when there are events or other departmental needs for staff personnel. If the college is paying their salaries, you might not be getting what you think the college is paying for.

There is no one-size-fits-all solution to advising. Some of us may have in our minds the platonic ideal of a faculty adviser who listens to students, trying to understand who they are and what they're interested in, and then leads them to courses, even disciplines, they may have never heard of. All the while keeping their advisees on track to a timely graduation and a great entry-level job. That kind of advising probably never really existed, except with a small number of faculty mentors who steered students to graduate school in their discipline—advice that for good reason will be appropriate to fewer and fewer students. As part of the range of services for students, most colleges employ college-level advisers who are knowledgeable about all of the college's offerings and maintain connections with academic and student support services offered at the institutional level. These college-level advisers will also try to work closely with departmental advisers to make sure that once students have declared majors, they are getting accurate and appropriate advice about course selection.

Work closely with the college's associate dean for students or other staff member, if there is one, to understand not only the current situation but what realistically you might do to provide timely, accurate, and sensitive support for students in their academic lives, while also directing students to appropriate services, including counseling and mental health crisis support, that might exist on an institution-wide level.

Unions, Fundraising, and Shared Governance

As you find your place as dean, there will be aspects of the job that don't fall neatly into categories of faculty, students, and curriculum. Nevertheless, working with unions, connecting with philanthropists to fund initiatives, and working across campus with peer deans and shared governance are important roles and will take up a fair amount of your time.

I have never worked on a unionized campus, but I've talked with many deans nationally who say they prefer a unionized campus. Unions both complicate and simplify management of faculty and even, in some cases, resources. The union contract will structure performance evaluations, salary and raises, and conflict resolution, and it will alter your relationships with department chairs, who often have specific roles to play. If the ideal world of academia is all about colleagues who work collectively in research and education to advance the public good, the real world of contemporary academia finds its expression in the structured relationship between management and labor laid out in the union contract. I believe that unions are most helpful (in the broad social sense) for contingent faculty members, whose collective voice will, I hope, force universities and colleges to offer living wages for the critically important work of educating our nation's students.*

Most people chosen to be deans on union campuses have had some experience with faculty unions prior to their appointment—if this is your situation, you already know more than I do. If you have been named dean on a union campus without having been either a member of a faculty union or an administrator on a union campus, seek out help and expertise, both

*See Kristen Edward and Kim Tolley, "Do Unions Help Adjuncts?" *The Chronicle Review*, June 3, 2018. The article comes from the authors' book *Professors in the Gig Economy: Unionizing Adjunct Faculty in America* (Johns Hopkins University Press, 2018).

locally (from your provost, general counsel, and other administrators) and from deans you know nationally.

America's institutions of higher education are more and more relying upon money raised through philanthropy to achieve a margin of excellence in research, in education, and on playing fields. The role of the dean has become increasingly focused on raising these philanthropic dollars, even at a public university. Find out from your provost the baseline institutional expectation for the extent of your commitment to cultivating relationships with past, current, and potential future donors. At some universities, deans are told upfront that they should expect to spend 40 percent of their time on fundraising. Other institutions may have more modest expectations, with the idea that the dean is more a symbol for professional development officers to rely on only at key moments in the long relationship that leads to even modest-sized gifts.

It is true that the most reliable donors to your college will typically be alumni of your programs, thus advantaging colleges of business, engineering, and the liberal arts at elite institutions. Work with your development officers—whether housed in the college or in the institution more broadly—to understand who are your successful alums and what their relationship with the college has been. The fake term *friend-raising* is distasteful on many levels, but you do need to understand that you are building relationships. And, without precisely intending it, successful deans will in fact become friends with some of the alumni and other deeply engaged donors to their college. It makes sense: you both share a commitment to the work done by students and scholars in the specific disciplines you oversee at your institution. And most people with the resources to consider major gifts are successful, interesting people who, you will find, have plenty of interesting ideas for you to consider even outside the specific target of their philanthropy.

It is important for the dean to choose very carefully any development officers working with the college. Development

officers need to understand, and be willing to keep learning, basic aspects of what the faculty in the college study and teach, and what students learn and go on to do after graduation. They need also to be creative in terms of thinking through projects, be loyal to you and the college, and be willing to spend the many hours it takes to work successfully with faculty members. Most faculty members are very happy to receive the benefits of philanthropy, but they may be less comfortable on the leading edge. It's your job to figure out which faculty members can be especially productive in philanthropy, and also how to prepare less enthusiastic faculty members to present themselves to donors who are interested specifically in the work they do.

CASE—the Council for Advancement and Support of Education—is a national organization that sponsors very useful professional development targeted at deans. I recommend that you and the college's chief development officer (or other person at your university with whom you will work most closely) attend one of their Development for Deans sessions.

I can't tell you how many times I've been asked to come up with the word to describe a group of deans. "You're an English professor! What should it be? If there's a 'flock of birds,' or a 'school of fish,' or a 'nuisance of cats,' what would be the right collective noun for the deans?" I'm always tempted to answer, "a blowhard of deans." But instead, I wearily reply, it's the council of deans.

On most campuses, the deans will meet once or twice a month with the provost. Different campuses run these meetings in different ways. On some campuses the deans, jealous of their prerogative, will insist that the provost bring minimal staff, if any. On other campuses, the deans might be outnumbered on the deans' council by vice provosts and other assorted non-dean administrators. The new dean should learn quickly about both the players in the room and the culture of the meeting.

Is there freewheeling conversation? Or is it basically a buttoned-down show and tell, with the provost's role being to

share data and larger university vision and the deans' role being to be told what to do? If you're in a show-and-tell situation, make sure the provost gives you the chance to do some showing once in a while. Even when there isn't any real conversation in the council of deans, there can be an opportunity to swap college success stories. In either case, the official deans' council meetings are tense, with performed rather than genuine jocularity and colleagueship.

On the other hand, on some campuses the deans organize shadow council meetings, with deans getting together without the boss, sometimes with adult refreshment that can loosen the tongue for genuine exchange—or bitter sniping. I have always enjoyed these meetings, which are low key and offer the possibility for productive collaboration as well as sharing tactics of managing within the university structure. Unless you're fighting over where a particular academic program should be housed (if there is overlapping territory among colleges, as there sometimes is), your best friends—or, really, best acquaintances, since these are largely transactional relationships that will die when you are no longer dean—will be your fellow deans.

At the same time that you are working closely with faculty members who, like yourself, have become administrators, you will work with representatives of faculty in the shared governance structures of the institution and, in some cases, the college itself. At most institutions, the faculty senate is a representative body, with members elected through departments and academic areas so that the senate includes faculty from various academic specialties. The senate at most institutions has primary control over the curriculum, and the faculty (through other processes) have the primary voice in tenure and promotion. The senate advises the institution (the *shared* part of shared governance) on other important issues, from the budget to athletics, admissions, student life, and financial aid.

Sit down with the president of the faculty senate when you take up your position, and at least once a year afterwards. You'll

hear not only what's on that individual's mind but what's percolating among faculty members. You will get information from the faculty senate that you can get nowhere else on campus. Faculty senate leadership will see a dean more as a peer than as someone higher up on the food chain. And to your boss, the provost, the president of the senate may have just as much importance as you have, if not more. Although shared governance has taken a beating in recent years in the "neoliberal university," it is still important.* It should be even more important. If you can work to enhance the professionalism and value of the work done by the senate, you will have a better response from the senate to college initiatives that need the senate's approval. And you will be encouraging a stronger institution for the future.

In some larger academic colleges, there may be a faculty senate for the college, advising the dean on college-level matters. In my experience, the college-level representative bodies are close to useless, and if you have inherited one, try to get rid of it. If you can't, use it as a way to communicate with its members. Whether these faculty were elected, appointed, or just drew straws, if they show up to the meetings, they are interested. To enhance your success as dean, communicating effectively and as transparently as possible with the college's faculty is one of the most important habits you can observe.

*Although I prefer not to use the term *neoliberal university* myself, Andrew Seal makes some compelling points in its favor. See "How the University Became Neoliberal," *Chronicle Review*, June 8, 2018. https://www.chronicle.com/article/How-the-University-Became/243622.

Chapter 3

Managing Down, Managing Up

You have settled in to basic duties as dean. You understand what the college does and, even more importantly, what your role is in hiring faculty, supporting students, and offering a curriculum. You can sign the papers making all of those things possible. But as a manager, you need to take an active role in the daily life of the college. Deans manage people: staff members, faculty members, and students. They manage academic programs—starting them, building them, assessing them, and, if necessary, discontinuing them. And they manage budgets. Think of managing down and managing up as active processes in which the dean's leadership balances with the practices and initiatives in the departments—and in the provost's and president's offices. This chapter delves into these details of your role as dean.

Deans have primary and daily responsibilities managing the college-level offices. This is your home. Once you have your feet on the ground and know what everyone does (or doesn't do), you can work with faculty and staff leaders in the college structure to make the situation better.

Managing People and Programs

Dean's offices are accustomed to change. Surveys of deans conducted by various disciplines indicate that the median length of deanships is around four years. The average may be a bit higher. There will be comings and goings in your dean's office—often at a frustratingly rapid pace—and it's likely that many of your staff members will have worked in offices led by a series of deans.* You will want to manage the dean's office both to suit your organizational preferences and to ensure that when (not if) there is a transition in your office the work of the college will continue, affected as little as possible by your departure.

The dean needs to be visible in the office on a daily basis. In smaller academic colleges, that might be easy. There may be only one or two staff members reporting directly to you, and you may be housed in an office suite within shouting distance of one another. In a larger office, with perhaps multiple locations in several buildings, you need actively to make yourself visible. That means you need to get around and be physically present for all of the college's staff members. (If this is difficult for you because you are dealing with a physical disability that limits your mobility, schedule more frequent meetings where you pull various groups reporting to you together in an accessible location.) Don't hesitate to share your academic vision with college staff. And link the work they are doing both with your own vision and with stories of students' academic success.

Protocols of staff hiring are clearly laid out to both candidates and search committees, more so than in faculty hiring. Whether you are assisted by a human resources manager central to the

*Jim Rosenblatt, Dean Emeritus at the Mississippi College of Law, has kept a database on the tenure of law deans, from which he has drawn the conclusion that deans last between four and five years. This is the homepage of his "Rosenblatt's Deans Database": http://law.mc.edu/deans/index.php.

institution or a human resources specialist in your own college, you will want to rely on the advice of HR, not only in the conduct of the search but in the assessment of candidate qualifications. In some ways, this has become more difficult in recent years, when candidates with a wider range of qualifications have been applying for administrative positions. Jobs that were once labeled as clerical now demand a range of skills—which may or may not be signified by the academic degrees listed on applicants' resumes. Roles that were once seen as appropriate for particular genders are now, for every reason, open to all qualified candidates. Even an individual choice like facial piercings—which might have surprised people who walked into a dean's office twenty-five years ago—can fit the professional appearance deans rightly wish to project to the public.

Hiring is the easy part, though. Although you will have longtimers in the dean's office, you will also, especially in larger offices, see frequent turnover. For some, jobs in the college office represent career choices. For others, they are just jobs, and even outstanding staff members will leave for a variety of reasons. A goodbye party for one staff member followed by a welcome party for a new hire will become second nature to you. Time-consuming, perhaps, but both the work and the rituals surrounding it create a comfortable climate for staff to do their best work.

But when you encounter conflict between staff members, you may find that managing the dean's office takes up a much larger percentage of your effort than you had anticipated. Some of the conflict will stem from personality differences exacerbated by the amount of time people are spending together in close quarters (a kind of Sartrean hell that most faculty members don't experience during their regular jobs of teaching and research). Conflicts over the break room and its refrigerator, noise at a desk or in a cubicle, and other typical workplace clashes can be resolved with the help of your HR contact and your staff manager.

However, conflict also occurs when a staff member turns out to be less competent than required for the position or to have an attitude that prevents excellent work from being done. HR is really important in these circumstances, too, in order to provide advice. In some cases, you will end up relieving people of their positions. Deans who have been department chairs—or lab scientists who have had to manage personnel in order to conduct their research—will have an advantage over newbie deans lacking those experiences. Follow HR instructions (which, in some cases, will be supplemented by instruction from the institution's legal representation). You will receive direction on everything from collecting information and providing progressive discipline to conducting the meetings in which you relieve employees of their positions (and, sad to say, require them to leave the office right away with their belongings).

On a cheerier note, you want to manage an office that looks for continuous improvement (whether or not you follow the business protocols of the American Society for Quality). This means encouraging your staff members to come to you with suggestions for improving the way the office does work and empowering them to make changes within the context of the service your office provides to multiple constituencies. Improvement involves more than coming up with a good idea: a substantial change in process, including changing vendors for IT services and reworking protocols that involve multiple offices—especially in areas like curriculum, budgeting, faculty hiring, or tenure and promotion—will take many months, if not years, to implement. Some changes will be driven from above, but if you have strong staff members with good ideas, your office may institute process improvement that will be implemented across the institution.

Most deans throw a party once or twice a year for office staff. In your first years, do what your predecessor did, if possible, unless you need to move away from potentially discriminatory events, like the Christmas party that may be offensive

even to Christians such as Jehovah's Witnesses as well as to non-Christians. Birthdays also might be inappropriate occasions for celebration. You need to know your staff and listen to them.

A retreat can be an important annual event for staff, as long as it isn't a cynical excuse for providing an extra vacation day. Coming together as a work team can be powerful, especially if you have staff members who can share organizational vision and expertise of their own. You can be an inspiring presence, sharing your vision, but if you can empower the team to brainstorm effectively, you will have a more successful retreat.

You will be helped in leading the office by effective reporting lines and strong managers, and by your communication with the staff. In smaller offices, the dean might hold monthly all-staff meetings. In larger offices, the dean can continue or establish a staff council with representation from different units of the staff. Staff council can help with everything mentioned in this section. Elections are clunky, but the dean needs to be careful if appointing members. Every area of the office should be represented, and sycophants should be avoided as assiduously as malcontents.

Raises are at least as important to staff members as to faculty members. Apportioning the resources allocated to your unit annually can be more difficult, believe it or not, for staff than for faculty. You don't have the buffer of peer evaluations to determine strong recommendations for raises. Instead, you'll have an amount of money, a number of ways to divide it, and performance evaluations written by you or by individual supervisors, some of whom may just want to give their people a maximum raise and others of whom are out to get the people who report to them. The dean is ultimately responsible for all the raises in the dean's office. If there is a trusted associate dean or budget director with experience, run your ideas by that person before solidifying them.

In some cases, you will be able to supplement raises with dean's office funds that haven't been spent and are not yet com-

mitted to other purposes. If a staff member has left, perhaps you don't need to fill that position. Some of the money saved in that way can (depending on how the budget and HR work at your institution) supplement the pool for salary adjustments provided by the provost's office to the college.

One of the best ways for staff members to increase their pay (which is likely tethered to their job title), is to get a promotion or, at the least, a title change that both allows for a higher salary and reflects additional responsibilities for the staff member. Your institution's central HR unit will look skeptically at too many title changes without a detailed conversation about what you're doing. If you're just trying to get a staff member additional money for a job that can't pay that much, you need to give that staff member new responsibilities as well as a new title. And perhaps hire someone else to do their old job.

Much of your management—of people and of programs—will be done with and through the resources you control as dean. The mechanism of that management is the college budget, which includes the unit budgets that are directly managed by your departmental leadership.

Managing the Budget

The budget you oversee is part of the university's budget. You manage it, but the provost's office and vice president for budget will want to see it and understand it. The college's budget will be funded according to a model adopted by your institution. One of these models—a controversial one—is Responsibility Center Management (RCM), used at a number of mostly large institutions. I spend some time discussing RCM because it hyperrationalizes much of the work of managing budgets for strategy that all deans must take on, regardless of the system used at the institution.

RCM

Deans informally refer to RCM as "eat what you kill." It provides limited autonomy to academic units—particularly colleges led by deans—around decisions on spending and revenue generation. First implemented at the University of Pennsylvania in 1974, RCM has spread to other institutions over the past forty years. A helpful website at Penn concisely describes its history in three bullet points:

- Implemented at Penn in the early 70s when University was in financial distress
- Initially focused on controlling expense
- Evolved to encourage revenue growth as well*

Under RCM, a formula, typically grounded in the revenue accruing to the institution through tuition paid for courses and majors in a particular unit, determines how much money a college receives on an annual basis. The basic principle is that colleges receive a percentage of the tuition dollars produced by courses taught in the college. However, the formulas can become very complex when research becomes involved. And when institutions have adopted cost accounting in a highly developed way, taking into consideration facilities for research, teaching, and office space, the team managing the budget allocations at the university level becomes large and specialized.

Many deans love RCM, since it appears to elevate them above middle management in both theory and practice. Deans are the bosses, living (and dying) by their budgets, which become (in theory) largely their own responsibility. Control of the budget, in RCM, implies CEO-like control over the entire organization of the college. Under RCM, deans not only manage the college budget, including its units (as they do in other budgeting systems), but can plan for growth—at least more so than under a

*http://www.budget.upenn.edu/dlDocs/rcm.pdf.

traditional budgeting system, in which revenue gains and losses for the college are absorbed in the institution's overall budget. The college becomes a quasi-independent academic enterprise like a subsidiary business unit, with the opportunity to grow on the basis of the excellence of the product delivered. Remember Penn's bullet points, though, and don't fall victim to the illusion that under RCM deans and colleges control their own destiny. Sure, you might be able to grow, but even your growth remains within the context of institutional strategy, institutional enrollment management, research operations, general education, and other essential institutional functions that continue to be handled at the vice-presidential or provost level. Sure, colleges receive a percentage of the tuition (and, perhaps, state appropriations) that they, in theory, produce. But only when there is complete and trustworthy cost accounting does that percentage come anywhere close to 100 percent.

The incentives for a dean under RCM do not differ in kind from the incentives for most other deans, but they differ in intensity. RCM rewards efficiently providing education to the maximum number of students. Because income to the college is a function of tuition dollars generated minus the cost of providing education, "profit" comes directly to the dean and can be invested in mission-critical initiatives, new faculty hires, research development, or other programs to which the dean is committed.

So when the RCM system is working as it should, budgets are managed where they are spent, and they are fueled from revenues produced by those benefiting most directly by effective fulfillment of the organizational mission. If a dean works with faculty to create a successful major that attracts students who are taught well (and efficiently), then more students will come to that program, which will generate more tuition that can be used to build either that program or a new program that might similarly fulfill institutional and student aspirations. But if a dean, on the contrary, tries to squeeze too much blood out of the

stone—perhaps by increasing class size beyond effectiveness—then students will leave the college and enroll in a different academic program (or, in a worst-case scenario, another college or university). Under RCM, revenues, and their rewards, are closely linked to academic success. In other budget models, there may be less incentive for serving student needs.

I've mentioned that RCM provides deans with great control over their budgets and great opportunity to generate the revenues fueling these budgets, and that most deans like RCM. I do not share that enthusiasm, however, and here I outline my objections, which might be helpful to deans of colleges that are, or are likely to be, disadvantaged by RCM.

Who doesn't get their fair share under RCM? It depends on the model—and, for most models, depends on whether credit hours or majors are given more weight in terms of the percentage of tuition that goes back to a college under the implemented accounting system. Credit hours represent a simple and direct way of counting: if a student takes a three-hour course in your college (regardless of which college houses the major), you get full reimbursement for those three hours. Colleges with large number of student majors object, however: without the college of business to attract the student, the dean argues, that student would never have come to the institution and taken Intro to Political Science. So, instead, each college, in a system in which majors count in the formula, gets a portion of the percentage of tuition for that introductory political science course.

Basing the formula in credit hours tends to benefit colleges of liberal arts in universities with general education requirements. Providing a weight and reimbursement for the unit housing the major tends to benefit everyone else. Both systems distort the faculty's consideration of building or updating programs and general education that are designed with the students' interests in mind, rather than the interests of colleges, schools, and departments. The RCM-inflected idea that the dean is a CEO of an organization is, in my view, always an illusion

and sometimes a delusion. Even worse is the underlying notion that an academic institution's academic offerings do or should resemble a free market. RCM not only encourages, it almost requires competition among units—grabbing students and keeping them captive—rather than a focus on the overall educational experience of the student in terms of the full range of educational opportunity. In institutions managed through RCM, students have (in experience, if not in theory) less access to other students who are not studying exactly what they are studying. Rather than having their intellectual horizons widened, students are quickly scuttled into disciplinary clans. Despite its much-touted advantages in terms of efficiency and incentives, RCM brings obvious costs to its leaders and the potential for waste. Deans, too, are thrust into competition with each other, rather than being encouraged to find ways to collaborate, innovate, or streamline in order to reduce duplicated effort.

In fact, rather than elevating deans above middle management, RCM, more than any other element of the modern college or university, emphasizes the middle-management aspect of being a dean rather than the academic leader role that is central to the most satisfying and important aspects of the job. Jockeying for credit hours has the appearance of serving everyone but the students.

Finally, RCM usually acts to the detriment of those parts of the institution that serve the whole but don't produce tuition, including the graduate school, the teaching and learning center, and the library. Central units (often including even the provost's office) are funded, in effect, by an institutional tax, under the presumption that all possible revenue should accrue to the individual units that generate it and that money comes *back* from the colleges to support core educational and research facilities. Libraries either see a huge hit or become service units for individual academic programs that want to pay for specialized databases or other resources. Units providing academic services suffer. Often the colleges don't want and don't believe they need

those services. They'd rather go without, go it alone, or create their own units that do that, so they can keep that revenue, too, or not pay that tax. Central units only continue to exist when a provost mandates them, but under RCM, they typically wither even with provost-level support. The idea of a university—of a collective enterprise—is often lost to the power of the college-level business unit under RCM. In the name of budget autonomy and healthy competition, RCM encourages a culture of Divided, not United, Nations. Still, more universities are adopting than abandoning RCM, so it behooves all deans to understand how it works.

Traditional Budgeting Models

RCM fosters some ideas that more traditional budgeting models encourage, too—and rightly so. In any budget system it is better for deans to have the opportunity to increase revenue through the most obvious and indeed academically appropriate way: serving more students more effectively. In other words, a budget in which changes reflect enrollment growth.

Some universities create incentives for enrollment growth. Deans are presented with a model that provides an increase in funding for colleges from the provost's office as a reward for an increase in students. Such models do not follow a simple count of the number of majors or the credit hours produced: upper-division and graduate courses count more than intro courses, thus taking majors into account without disadvantaging colleges that produce high enrollments in general education. Colleges do not immediately lose funding when their enrollments decrease: after all, by far the largest proportion of a college's budget is in personnel, and personnel (especially tenure-track faculty) are not flexible line items in a budget. But colleges also would not, in theory, receive approval for new faculty lines that they could not pay for.

In practice, this enrollment-growth model can be flexible in implementation: provosts have provided funding to colleges

when institutional strategy mandated growth in a specific area that might not have been directly funded by enrollment growth according to a formula. Indeed, one value of this kind of model is that it allows for broad strategy focused not solely on growing the number of students in a college but on acknowledging the overall value in our colleges' doing better for our students. It looks at quantity, quality, and unique contribution. Enrollment-growth models provide some (not all) of the incentives provided in an RCM model without the desperate focus on cramming more and more students into classes while keeping costs low.

NB. An enrollment-growth model only works when the institution can absorb more students—that is, when the growth of the number of students in a college is to the benefit of the institution as a whole and not to the detriment of other colleges. If there is no room for institutional growth, growth in a particular college represents a shift in market share rather than an increase in an institutional budget. That is, systems that reward deans for stealing students might increase efficiency in an abstract sense, but in practice they harm institutional culture without benefiting an institution's finances.

A traditional budget model continues to work effectively at many institutions, including smaller universities and liberal arts colleges that might be organized under one or two academic umbrellas. These institutions might not be able to afford the expensive and time-consuming cost accounting that underlies any trustworthy RCM system. And culturally they might prefer a gentle system that builds or diminishes a college's budget for any given year from the budget of the preceding year, with adjustments made by the provost for a variety of reasons, from enrollment and institutional strategy to larger institutional budget concerns, including areas like facilities, which lie largely outside of a dean's control. A dean's budget, in this situation, results from a political process of constant or periodic information exchange (in other words, negotiation), primarily with the provost.

Championing the College's Budget

Many institutions will schedule an annual budget meeting between the provost and dean, at which each side presents data and discusses the budget for the subsequent year. Deans must come to these meetings well prepared with accurate and compelling data as well as a strong story. (Ideally you will be able to bring along the college's budget director.) It's like making an entrepreneur's pitch to a potential angel investor.

In this meeting, you need to present accurate projections of costs if everything stays the same, including replacement hires for faculty who have retired or left the institution. You should also have the figures for projected retirements and departures as well as a broad plan for new faculty hiring. This means that before the meeting you should have received and discussed a range of ideas for hiring with your department chairs and should understand how any proposed searches fit your overall strategy. Very few institutions will accept "We lost our medieval Italian historian and so we need to hire another to teach the courses that are on the books" as a good argument. Is anyone taking those courses? How does that hire fit into the unit's overall well-being, growth, or vision? What makes it a compelling need going forward, not just a fill the gap, forward-marching soldier kind of request? The key preparation for the budget meeting is to understand all the nuances of the college's personnel needs. You need a persuasive story backed up by data.

The provost and the provost's budget director are likely to come to this meeting armed with enrollment numbers of their own, covering a series of years, along with a spreadsheet listing revenues and expenses for the college over enough years to establish trend lines. The provost will want you to explain what factors are responsible for growth or decline in enrollment and how the growth or decline relates to your own proposals for budget (including faculty hires). You should be prepared to ask about the institution's overall academic budget: Does the provost

project an increase or decrease in funds available for academic purposes? How are these funds likely to be allocated to the different colleges (including your own)? In a particularly flush year, the provost may want to share increases to the academic budget among all of the colleges, even those that might be seen as underperforming. So even in years in which the college has lost students, you should come to the meeting with proposals for strategic initiatives that will attract students or raise the institution's profile. Have a positive, growth-oriented vision for the future, in other words, even when you find yourself pitching for more, different, or better in an economy of scarcity.

This is *not* a time to sit back and let things happen to the college without a fight. Data—on student enrollment, research dollars, philanthropy, news stories, and so on—will inform negotiations with the provost, but they do not have to determine the outcome. You need to be a passionate advocate for what the college's faculty and students do, and you need to be prepared with good ideas for what the college's students, departments, and research centers could achieve with additional funding. Don't lie. But the provost is one of two audiences to approach with rose-tinted glasses. (The other, naturally, is potential donors.)

You face some of the decisions with the college's departments and centers that the provost faces with the institution's colleges and schools. Most deans, even those working in an RCM budget system regarding funding from the provost's office, do not want to distribute resources to their units strictly via formula. A large college, particularly a college of liberal arts and sciences, will make extensive use of cross subsidies, propping up important (but money-losing) departments in the physical sciences from relative profits made by social science and humanities units. The larger the college, the greater the cross subsidies the dean will manage. But even smaller colleges and schools will still have departments that net the college more or less money.

The entire college budget will generally be opaque to department chairs, even in the most transparent of public universities.

Chairs will, as is appropriate, argue for what they believe they need in terms of research and teaching resources and, especially, tenure-track faculty lines. Their data are different from yours. Chairs generally are motivated by internally focused metrics of teaching, research, and—that dreaded word—coverage of the subfields within the department's umbrella.

Chairs will argue about the critically important faculty member who wasn't replaced back in 2004, prior to the 2008 crisis. They will sometimes forget the extra new hires that came to the department for various reasons in the interim. The college's budget manager or associate dean of faculty (both offices are appropriate) should keep careful track of the tenure-track comings and goings from all of your units. At critical moments, such spreadsheets can be correlated with enrollment figures for the units. This overlay of different numbers should not rigidly determine your decisions, but it does provide a useful set of information about general trends in terms of faculty size and student enrollment in your units.

Most of the money controlled by your chairs and directors will be tied up in faculty and staff salaries and benefits. Faculty and staff should be separate lines in your analysis of a unit's budget. Indeed, it is helpful to calculate the ratio of staff to faculty in each of your units. Again, there is no magic number for the right ratio. Different units have different needs, dependent not only on the teaching and research done but on the kinds of shared support that might exist within the college or the entire institution. A life sciences department with active research grants will need more staff members than an English department with the same number of faculty members. Usually, that is. If the institution's office of research handles grant support (whether preproposal, postproposal, or both) then you might well wonder what all eight of those staff employed by the biology chair are doing.

Just as the provost will be talking to each dean individually in a budget meeting, each dean should speak annually to each of the college's department chairs and center directors about

their budgets for the upcoming year. They will all argue for extra resources—as they should, if they are doing their jobs. Spend these meetings listening rather than talking. You very well may have your analysis of a particular unit concluded, based on information from your budget director and from your enrollment and research experts. But, first, you don't know everything. Second, you may miss the forest for the trees. Any department chair, even in your own academic discipline, will have a better sense of the department's big picture than you can have from your perspective in the dean's office. You want to be able to trust your chairs, and you want to learn from them what is working and what isn't within their units. At that point of deeper understanding you can decide whether the unit truly needs the requested additional resources.

There are a few ways you can approach non-salary expenses in your units. You can provide a lump-sum operations budget to your chairs, suggesting that they decide what priorities they have for the department, ranging from copier paper to professional development funding supporting faculty travel to conferences. Around the country, non-salary budgets have decreased or been eliminated at some institutions. Regardless of what you provide to departments, individual faculty members will approach you for special funding, whether for travel or initiatives. Figure out your philosophy. Mine was to help fund (after other monies have been secured) initiatives that cross department lines or stand to make a national impact. I set an upper limit for what I could give for individual events, and I rarely exceeded that limit. Sometimes I funded requests from individual faculty members for funding beyond what their departments could give them. More commonly I would cost share with other units the important events and initiatives that make a difference to faculty members, students, and the community. I made sure there were opportunities for all of my departments and centers to request special funding—which was limited, but which got spread relatively evenly.

It's no secret to experienced deans or, for that matter, experienced department chairs that the units count on salary savings for operations and support of faculty travel, research, and other initiatives. Salary savings represent amounts of money freed up by salaries not being paid on established personnel lines during a given year. These savings can come about through faculty members taking leave, winning research grants that cover salary for a particular period, or (for a highly paid faculty member) taking retirement. There are also small (but significant) amounts that accrue back to departments when a staff member retires or leaves but is not immediately replaced. These amounts, even the small, temporary amounts, add up quickly. Replacement teaching by contingent faculty members (if it's needed) will take up a fraction of a given year's salary savings, leaving a healthy chunk to use for other purposes. Most deans will leave these savings—or a large percentage of them—at the unit level, where a department chair can make tactical decisions about how to replace teaching and what else to use those resources for. Over a given period, you and the college's budget staff will understand how much each unit will expect annually in salary savings, and you can tailor any operations budget beyond personnel costs (if you provide them to your units) as a supplement to salary savings.

It's tough to decrease a unit's budget, especially when by far the largest amounts are accounted for by personnel, whether staff or faculty members. "Cutting a unit's budget" really means not replacing someone who retired or left, whether faculty or staff. Even units that you might describe as failing are going to want to replace everyone who leaves, and they will think of personnel lines as theirs.

You might find yourself repeating constantly that "all lines revert to the college." Except for the typically small number of endowed or other specially funded lines, all positions should be seen as college positions rather than as owned by the departments. Chairs don't like this, and faculty members don't understand it. But because it is easier to discuss *positions* than amounts

of money, retaining lines allows you to redistribute budget among units in the college to reflect enrollment, success, or new initiatives. Allow the departments to make a case for returning a line quickly, even immediately, even when you don't initially see why. Sometimes you will be convinced—or at least convinced enough that it wouldn't be a terrible decision to let the unit keep the line and avoid the fight.

But of course, fight as hard as you can against a provost who says, "All lines revert to the provost"!

Your own operations costs might be significant. You will probably, at various times, be asked by the provost to cofund institutional initiatives. You will need to reserve money for travel and research for faculty leaders who have taken on administrative appointments as well as for yourself. Make sure you understand from the college budget director what costs have been historically, and how they have been used. It's possible you'll be able to adjust (hopefully to save money that can be spent supporting faculty members or students), but it's much better to be cautious than to come in with guns ablazin' like a new member of Congress who gets to Washington vowing to save the people's money—but ends up just another denizen of "the Swamp." As with the social services programs that our federal representatives grandstand about cutting, your operations budget will be a small percentage of the personnel budget, which is where most of your energy and attention will be focused.

Deans need to think strategically. It will be very easy to get bogged down in the mundane transactions of the daily grind. Yet you were probably hired because you demonstrated a vision for serving students better or hiring great faculty or developing new programs. You will need to reserve funding (or generate it) to support worthwhile initiatives. I discuss strategic planning in chapter five. Here I merely mention that you need to account for strategy in the college's budget. Significant initiatives—whether related to research, public service, or educational programs—require significant investment, especially when they will demand

the hiring of new staff and faculty members. Chairs will resent any money that you retain at the college level rather than distributing to the units for hires and their own initiatives. If you are funding college-level strategy from faculty or staff lines that you are not replacing in the units, you will receive especially severe pushback.

Institutions offer deans (and department chairs) various opportunities for generating revenue. I discuss below differential tuition and new academic programs designed to attract students. Other opportunities include raising money through philanthropy and using the college's core academic strengths to drive entrepreneurial programs, which might be in research, education, or public service (via consulting).

Philanthropy tends to support specialized programs or student scholarships. External research funding certainly brings money into the institution. But it is well known that research operations ultimately cost an institution more than they bring in from federal or foundation grants. That National Science Foundation grant may be in the amount of $250,000, but your institution will be spending $300,000 on the project—you'll usually be paying for both direct and indirect costs of the project by way of required cost share, voluntary cost share, compliance, facilities, other unreimbursed indirect costs, and so on—above the grant money coming in. Not only won't you make money from research projects, you spend your money (well, student money) on these important projects. They are obviously worth doing for many, many reasons. But they don't pay off.

Ultimately, even in institutions with significant programs in philanthropy and research, money for growth will derive (at whatever remote distance) from students paying for educational programs. Figuring out how to charge more for the programs you offer (with money coming directly to your college) or to create new programs that will generate new students whose tuition you can, to some extent, retain for the college, is a challenge all deans should take on.

Managing Students

Managing students really means encouraging the success of the students who take classes, and, especially, those who pursue degrees, in the college you serve as dean. Success means more students, retained successfully, and graduated as close to on time as possible. It means that those students learn what the faculty believe is important and translate that learning into happy lives and successful careers. The college manages students on a day-to-day basis, but it can judge success only over the course of years, even decades.

Attracting and Retaining Students

Most deans want to attract more students (unless you are dean at an elite small liberal arts college or dean of a medical school, law school, or other professional area in which a complex formula among faculty members, students, and the job market dictates a limit on your numbers). More students result in a larger budget, additional faculty members, and a greater ability to do excellent academic work. You might want to invest in marketing personnel who understand how students become attracted to different academic programs. College-level personnel should work in close connection with their peers within your departments. Most deans will want their colleges to have a general major (often derided as a "fallback major") that students can enter if they end up not succeeding in a first-choice degree program.

One popular example of this is the bachelor of health sciences majors that have popped up around the country in response to the growth of health care as an industry. These programs serve students who know they are interested in health care but are not sure which area of health care most interests them. They also serve students attracted to colleges of allied health who might want to be physical therapists or audiologists but learn that they do not like those professions—or just cannot complete course work at a level high enough to gain admission to

these competitive programs. Under RCM or any system that rewards growth and innovation, deans have a direct incentive to keep students in the college. Fortunately, this incentive matches the overall institutional objective to retain and graduate as many students as possible of those who enroll.

Many deans who see themselves as CEOs at larger institutions look to build their market share of all the students at the institution by poaching students from other colleges. You will probably want to make sure that your colleague deans do not feel that their very existence is jeopardized by your recruitment efforts into existing or new programs. Faculty members, both yours and theirs, represent a sunk cost, not only for the colleges but for the institution at large. In the very long run, faculty might not be replaced at retirement or might even switch colleges to go where the students are. But in your run as dean, stealing students and impoverishing your colleagues' enrollment numbers will likely not be viewed positively by either those deans or the provost and president. So if you want to increase your college's share of the institution's students, don't be brazen and do reflect on the potential consequences beyond the college's interest.

Recruiting new students is one thing. But the best way for institutions to increase the money available to them—and to fulfill the most important part of their mission—is to retain to the institution students who have chosen to enroll. Deans can find information about their institution and its competitors through IPEDS, the Integrated Postsecondary Data System (https://nces.ed.gov/ipeds/). The numbers you find for retention and graduation rates may seem shocking. Of students who enroll as first-year students, even well-regarded so-called very selective institutions graduate fewer than 50 percent after the standard four years of a college education. Most institutions publish, instead, the six-year graduation rate.*

*Rates for the retention of first-year students into their second year remain depressingly low. A recent *Chronicle* article discusses possible

Colleges and universities for some years have been focusing on the first-year experience, and recently have been pushing creating second-year experiences in the hope that getting students into the substance of their studies in a major field will decrease the number of dropouts. The retention and graduation rates alone should be enough to get colleges and universities thinking about general education and the frustrating hurdle that it presents to many of them.

You, and the associate deans and staff directors who work on student experience, should be thinking all the time about tactics for retaining students to your college and to your institution. Sometimes this means helping them find a way to another dean's college, and to this end you can instruct both the college and department advising staff to help students find the best fit at the institution, not only the best fit within your college.

A principal reason, although not the only significant reason, that students drop out is financial need. Students sometimes don't know that colleges as well as the financial aid office are there to help. As dean, you can encourage a customer-first approach in your staff, making it clear that serving students with immediate financial difficulties is a top priority. Most students already receive financial aid of one kind or another. Your office will usually not handle routine financial aid issues, which go through an office of financial aid that reports to the vice president for student life or, in another model, to the institution's budget director. You should get to know the director of financial aid, not only to help troubleshoot cases in which student financial problems imperil retention or completion, but to understand better the broad picture of institutional finances. Colleges and universities spend a large percentage of their discretionary budgets on student financial aid, both merit based and need

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interventions: Kelly Field, "A Third of Your Freshmen Disappear. How Can You Keep Them?" *Chronicle of Higher Education*, June 3, 2018. https://www.chronicle.com/article/A-Third-of-Your-Freshmen/243560.

Course Fees and Differential Tuition

In an idealized past, tuition was even across the institution, covering all courses that could add to a student's intellectual and professional development on the way to the degree. In our more market-oriented institutions of the present (especially state research universities), it is commonly accepted that students should only pay for the courses they individually decide to take, and they should pay extra for courses and disciplines that cost more than others. There are two kinds of differential tuition charged at colleges and universities. First, there can be a difference in the sticker price between disciplines: because of facilities and the salaries of faculty members, it costs more to provide engineering education than English literature, so we'll just explicitly charge more in tuition to engineering students. The second kind of differential tuition involves charging fees beyond the standard tuition.

There is still some lingering resistance to differential tuition. A higher cost on paper might discourage some students from majoring in a particular discipline, which, down the line, runs counter to a widely held value that higher education should be an engine for full opportunity, regardless of background or ability to pay. At the same time, with the myriad additional fees assessed on some courses (especially those with laboratories and special facilities), academic programs (everything from specialized faculty to job placement as justifications) have made differential tuition a de facto practice at most colleges and universities. In most budget models, deans retain some or all of the fees that students pay for access to laboratories, course materials, or specialized faculty. When a dean puts together a business plan for a new program—or puts together a proposal to assess new fees for existing programs—the actual costs are typically only one element of the proposal. Most deans pad these figures. Even if the special fees assessed are, by institutional policy, spent only on the purposes outlined

specifically in the proposal, the use of student fees for those purposes will likely open up other monies that can be spent at the discretion of the dean and faculty.

A new dean should be aware that gaming the system is the rule, not the exception. Proposals for fees overstate actual costs that those fees cover, and are typically written so that the unit requesting the fees can use them in as broad a way as possible. Distasteful as this practice is, it's so common as to be simultaneously unacknowledged and intrinsic to the system. There is little evidence that the system will change, so deans should understand how to propose additional fees and tuition and how to use the new funding. The situation is so out of hand that, at some institutions, deans more or less draw straws to determine whose programs are stuck with the baseline tuition, so that the number used as baseline still has a technical, if remote, meaning for students and parents. It's not a surprise that people are cynical about the price of higher education. Between inflated costs and the deep sales (meaning grants and other tuition discounts), a college education is as opaquely priced as a new car with options.

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based. While the director of institutional admissions and the director of financial aid are cooking up the packages to bring students to your college, you should be figuring out how to serve the students well and back up the admissions and financial aid officers.

Diversifying the Student Body

A focus on attracting first-generation students has become a primary way of building a diverse student body over the past decade.* Higher education transforms families; students who

*See, for example, Emily Forrest Cataldi, Christopher T. Bennet, and Xianglei Chen, *First-Generation Students: College Access, Persistence, and Postbachelor's Outcomes*, International Center for Education Statistics,

are the first in their family to attend college will change not only their own lives but the lives of generations to come. This is true even if the first-generation student's family is well-to-do. As dean, you can productively pay special attention to the college's first-generation students. Sometimes they need support, which can be offered more efficiently from the college than from the department in which they major. Your institution may have a strategy in place. Regardless, the college can convene its units' undergraduate directors and, if there are any, staff advisers to plan ways of providing academic support. These plans will aid you with your efforts in retention. But they will also help the institution fulfill its mission.

International students increasingly compose the segment of the student body producing the most net revenue at public institutions, and they usually pay (at least) full freight, whether at a public or private institution. This situation is true at institutions in English-speaking countries generally, including in the United States, Canada, the United Kingdom, Australia, and New Zealand, which are particularly attractive to students (and parents) in East Asia and the Middle East. International students are retained to the institution and complete their degrees at a higher rate than domestic students. Still, there are issues to be aware of. These students tend to major in engineering, the physical sciences, economics, and mathematics (including statistics), and so if you have any of those disciplines within the college, you'll want to be able to add instructional resources when you add international students. International students also have less awareness of the purpose and process of general education, so whether you offer general education courses in the college or not, your advising team should be prepared to help international students understand what they are taking and why they are taking it.

U.S. Department of Education, February 2018. https://nces.ed.gov/pubs2018/2018421.pdf.

Most colleges and universities see the internationalization of the student body as a net gain for the educational experience on the campus (as well as the bottom line). But deans can and should work with student life, the institution's international center (if it has one), and international student leaders to make sure that their units are responsive to these students' needs.

Academic Integrity

A nagging and often thorny issue on most campuses is academic integrity. Technology has provided students with incredible opportunities to cheat. Sometimes blame is put on the internationalization of the student body, citing the notion that "collaboration" customs are different in different parts of the world. There are different institutional fixes, from monitoring examinations and using computer programs that match submitted papers to a large database of previous college papers (for example, turnitin.com, which is part of Blackboard, a course management system) to, at the other end of the surveillance spectrum, initiating and ramping up honor codes. We know that teaching ethics courses on the basis of what's allowable and what's not seems to help people figure out how to game the system. Academic integrity must be internalized as a norm rather than taught as a set of rules. There are ways to do this, but faculty have not been on board with giving time-consuming education (not "training") on ethics in academia the requisite emphasis in undergraduate or graduate education.

Neither will most deans wish to expend their deanly capital on academic integrity. Instead, the college, the dean, and faculty members will talk a lot, wring their hands, and then deal with issues as they arise. Faculty members will expect the college to support them when they bring violations of academic integrity to the attention of the dean or associate dean. Most colleges, however, want their faculty members to resolve the situation in house, so to speak, with the instructor failing only a specific essay or examination or, if the cheating persists, giving an F to

the offending student for the semester. But if the faculty member has brought the issue to the college office, then the faculty member has decided it's too important to be handled informally with the student.

As dean you need to be consistent but, at the same paradoxical time, also be sensitive to context. Some faculty members will want you to kick the offender out of the institution. But you don't have that power, of course, which is on most campuses reserved to a conduct board that may be filled by students or faculty members (or both), with the board reporting to the Office of Student Life. The college, on the other hand, generally has acknowledged authority over the academic consequences of academic infractions.

Teaching Evaluations

One place where managing students and working with faculty come together is with the student evaluations of teaching offered by nearly every institution of higher education. Student participation rate in these surveys is abysmal, although it can be increased with donuts and by asking students to fill out the online surveys during the class period. Analysts believe that the low participation rate does not harm the accuracy of the evaluations. Faculty members nationwide believe that the ratings are highly inaccurate. Yet departments require the surveys, and colleagues often use them to help make annual evaluations. Administrators have for years tried to make these evaluations more useful and more accurate: more useful, in some cases, by making the evaluations accessible to the student body (in imitation of the popular website ratemyprofessors.com). More accurate by honing the questions and focusing on measures that can't be easily linked to the self-reported success in the course which most evaluations request from students. If a professor is "enthusiastic" (one of the most often cited positive criteria), then students should recognize that enthusiasm regardless of how well they have done. But how can a student accurately judge if a

faculty member knows the subject matter well? Nearly every survey requests evaluation in categories that lie outside a student's immediate understanding.

The *Chronicle of Higher Education* publishes multiple stories and opinion pieces per year on this topic. A recent article by Kevin Gannon hits the spot: the measures are very faulty, but we don't have many better alternatives.* Deans don't often read the student evaluations of individual faculty members in the college. But deans *can* work productively with unit directors, who *do* need to pay attention to these evaluations for the purpose of faculty annual reviews. Deans should encourage the chairs and directors to share information, certainly about potential abuses (including Title IX violations) but more generally also about outliers. Regardless of the accuracy of course evaluations when it comes to evaluating professors according to a Platonic ideal of teaching, scores well outside a department's norm, or a norm for a particular course, may indicate a problem that formative evaluation—focused not on judging poor teaching and applying concrete consequences but on helping a faculty member improve—might fix.

One of the increasingly popular metrics some deans use to measure teaching effectiveness is the "DFW" rate: What percentage of students in a particular class receive a D or F at the end of the semester, or withdraw before the deadline? The presumption is that there's something wrong with the faculty member teaching the class, rather than with the students, when there is a significant deviation from the campus's overall DFW rate. That rate will fluctuate across disciplines and within different course levels in the discipline. But if you take all of that into consideration and a faculty member's DFW rates seem out of sync with similar courses, then you might want to discuss this situation

* Kevin Gannon, "In Defense (Sort of) of Student Evaluations of Teaching," *Chronicle of Higher Education*, May 6, 2018. https://www.chronicle.com/article/In-Defense-Sort-of-of/243325.

with the faculty member. Some colleges include a faculty member's DFW rate in the faculty member's annual review. I personally think this use of DFW rates is unfair and impinges on a faculty member's professional expertise. Nevertheless, it is also inappropriate for students to experience a gross inconsistency in an institution's evaluation of their work. No hard-and-fast rules—the DFW rate is a tricky but useful metric that should be used with caution.

Managing the Faculty

Managing the faculty—or, rather, encouraging, supporting, and rewarding faculty excellence—is perhaps the most important responsibility of the academic dean. In this case managing is akin to leading. The dean needs to move to the background, ensuring that by sticking closely to established processes and guidelines the faculty will be happier, healthier, and, ultimately, better in the classroom and better in research.

Evaluation of the performance of faculty members generally occurs at the unit level. The dean's department chairs will organize a peer review of faculty accomplishments in light of expectations set broadly by the institution and more specifically at the unit level. Your role as dean is to look at performance evaluations across the college to make sure that your units are all in the same ballpark when it comes to assessing faculty performance. And, if a faculty member files an appeal, you are likely to hear that appeal as dean. It is to everyone's advantage for the college not to have specific college-level performance criteria. Let the units handle the specifics and let the institution at large set the broad outlines.

The same is true for raises. The pool will be set at the institutional level. You, as dean, will typically distribute a portion of that pool to each unit, usually the percentage of the entire college's salary budget made up by each unit's salary budget. The chair will forward recommendations for raises, which you'll

generally approve. I have found it helpful to hold back some amount of the pool to award (in conjunction with unit leadership) to faculty who either are underpaid by equity norms or have demonstrated significant achievement. As dean, I would ask the department chairs annually for a list of up to five people they believed were deserving of a special merit raise. I'd compare that with my own list and then authorize special raises for several faculty per year to reward excellence and move closer to equity.

Although monies will come to you in terms of percentages (your salary pool's percentage of the full institutional pool, usually described as a percentage salary increase from year to year), I recommend instructing your units to distribute raises in dollar amounts according to transparent criteria. An assistant professor and a graying veteran might each get a $3,000 raise for doing an excellent job. That amount might mean more to the assistant professor, but it reflects the idea that doing a great job results in a decent raise regardless of the salary that supported you while you did the great job. Some faculty members at the top in terms of salary and seniority might grumble, but this is the fairest way, and it will best support your long-term aspirations for the departments and research centers in your domain.

Hiring creates the opportunity for building a strong faculty. Annual reviews help the institution understand how faculty are progressing and what kinds of support they need. But promotion and tenure is the mechanism through which a great faculty is maintained and supported. The dean does not decide whether a given faculty member in his or her college is granted tenure. The dean does have a significant voice in the process, and the dean can have a strong influence over the opportunities provided to faculty members on the tenure track in the years prior to the tenure decision.

Only a few of the highest ranked universities in the country hire people without the desire or intention of tenuring them. If you're dean at one of the 99 percent of other institutions, you

will be setting up an environment in which talented and hard-working junior faculty members will be able to succeed and earn tenure. Sure, the process during the year in which candidates are evaluated for tenure must be fair and transparent, and must reflect the genuine needs and aspirations of the institution and its units. But you should see a small number of tenure denials: bad cases should be identified well before the mandatory year at which faculty members apply for tenure; effective annual reviews should encourage faculty members without a good chance of earning tenure to find new jobs or new careers at which they can succeed more readily. Standards, which have to be clearly laid out from the time a faculty member is offered a job, should be rigorous. The institution is making a commitment to a faculty member for decades, a commitment that will entail spending perhaps millions of the institution's dollars on a person.

The specific requirements for tenure rightly lie within the disciplines in which a tenure-track faculty member earns that status. Your role is to ensure that these requirements are realistic and fairly applied, and that faculty members are appropriately supported to be given the opportunity to fulfill them. If you see weak cases coming up, you should look closely to figure out why: Has hiring been ineffective? Are the research requirements too lofty for the amount of time the faculty member was given to complete that expectation? Was too much service required from the faculty member? Has dysfunctional institutional culture interfered with a tenure-track faculty member's progress?

I have felt sorry for some candidates whose tenure bids I could not support, even when the unit faculty and leadership advocated for tenure. But deans should not try to fix problems related to support for junior faculty members by backing the cases of candidates who do not advance the research and teaching missions of the institution in a significant way. The external letters of evaluation that most institutions require can be helpful in fig-

uring out whether a candidate's contributions have made a broad impact on the field and approach norms for candidates for tenure at a specific type of institution. But read even those letters with a grain of salt, since, in these days of lawsuits and logrolling, few evaluators are willing to give completely honest readings of a candidate's materials. You need to have the confidence of your own judgment.

In this process the dean's recommendation represents only one step, but it's an important one, in which you summarize the peer review at the college level, including departmental review, and provide your own analysis. The provost and the institution-wide faculty committee that looks at all tenure and promotion cases will be reading your evaluation closely, and you will very quickly acquire a reputation for the quality of your P&T letters. Be honest. Understand your cases fully. Show that you have both the disciplinary and the institutional interests at heart even as you are applying, in an almost technical way, the established expectations to the candidate's record. There are certainly cases in which candidates for promotion and tenure deserve it even when they have not quite reached the institutional bar. But there should never be a case in which a candidate who has fulfilled expectations does not achieve tenure.

Promotion from Associate Professor to Professor

Even within a single Carnegie classification, there are huge disparities in how institutions award promotion from associate professor to professor. At some institutions, the stakes in a material sense may be pitifully low: maybe a $5,000 raise plus the obligation to serve on additional onerous faculty committees. At others, significant financial and cultural advantages redound to the faculty member's benefit from this promotion, even when tenure is not at stake. Some institutions look for quantity of publications in a simplistic way, others demand a set number of years after promotion from assistant to associate before one is eligible for the next promotion, and some decide that if it has been,

according to rules or folkways, too long since the first promotion, the faculty member may as well give up.

It is ridiculous and harmful to make promotion from associate professor to professor an exercise in hazing. Faculty members with tenure never have to leave the institution (except in cases of malfeasance or financial exigency, which rarely occur). So there should be multiple paths to proving excellence, and faculty members should be promoted when they have demonstrated excellence, even if it's only in one or two of the categories of research, teaching, and service. Especially as careers develop, faculty members end up specializing in and contributing to specific aspects of an institution's mission. As dean, representing the academic aims of the institution, you should support excellence where you can find it. When the material stakes (for the institution at least) are relatively low, promotion to the rank of professor should be an important cultural moment, recognizing a faculty member's continuing excellence in advancing the institution's missions. Faculty members promoted to associate will have been promoted on the basis of their potential for future contributions as well as because they met expectations for work already done. It's the institution's failure, in most cases, when an associate professor is not promoted within a reasonable time.

If you're finding yourself with too many so-called terminal associate professors, do a little bit of research. Are many of them from groups underrepresented in higher education? Or are many of them women? Additional service is often dumped on minorities and women, who traditionally have almost always taken on a lion's share of the mentoring of female and underrepresented students. There are ways to compensate for this unfair burden on women and underrepresented faculty members. Think about opportunities for teaching leave and research support for faculty members who have been asked to do so much service that they have not had the opportunity to develop their teaching and research.

Faculty Offers from Other Institutions

Every year, some of the college's best faculty members will receive offers from other institutions. As dean, you will have to determine whether you wish to make counteroffers to retain these faculty. In some cases, you may wish to make preemptive counteroffers to do so. The decision about how to negotiate with star faculty members has repercussions beyond those faculty members' careers. Other faculty members will be watching closely and learning from how you interact with their colleagues. If you negotiate with some who have external offers but not with others, you will be perceived as unfair and biased by the friends of the faculty member with whom you did not negotiate. (Even if you had what you believe were very good reasons not to negotiate.)

Some deans establish policies on counteroffers. One dean I knew—presiding over a college preeminent in its field in the country—let all of the faculty members in the college know that he would not respond to offers those faculty members might receive from other institutions. Publicly, he said that anyone leaving the university would be going to a lesser institution. And if they wanted to go somewhere lesser just for the money, it wasn't going to be his problem. Go away, he seemed to say. I'll hire someone better.

Most deans will only negotiate with faculty members who are being wooed by roughly equivalent or better places (that is, colleges and universities ranked in the same range or higher, either in the discipline or overall). You might want to make some exceptions, based on your assessment of the value of the faculty member to your institution. In any case, the first step you will want to take is to meet individually with the faculty member. Some deans prefer to let the department chair make the decision about whether to counter and to handle the negotiation (with the dean's advice and oversight, of course). The dean should play a prominent and effective role in retaining faculty members in

the college. Sometimes extremely strong faculty members have complicated relationships with their department chairs. These strong faculty members want to hear from the dean how valuable they are and how important it is to retain them. Silence from the dean sends a very strong signal—even if you just thought you were letting the process run its course.

Furthermore, it's college money, typically, that supports faculty retention. Most units don't have the resources to retain faculty members, and even if they have it, it can be complicated to spend on one colleague what in effect is communal money. Votes by colleagues on retentions can go very badly. It is much better for the chair to deal directly with the dean, with the college picking up the bill. The dean has the bigger picture not only of finances but of the relative strength of units within the college. Issues of diversity may increase the relative importance of a particular faculty member institutionally, and the dean will be tuned in to that consideration.

The chair has the best vantage point from which to understand the purposes of retaining a faculty member within the context of the particular unit. However, be wary of everything a chair tells you. After all, no chair wants to lose a position for the department, especially if it's a highly paid (or will be highly paid, after the counteroffer) faculty member in that position. It is good practice to promise the chair a compensatory hire if the faculty member leaves after a good-faith effort to retain.

Occasionally a faculty member will receive an offer to go to another institution to be a department chair or a dean. A faculty member coming to a department chair—or to a dean—looking for a counteroffer might be seeking something specific from a retention offer, including partner or spousal accommodation, the opportunity of taking up a leadership role, or, of course, more money. If a faculty member with such an offer in hand is looking for more money as a faculty member but doesn't want to go into administration at your university, don't take the outside offer too seriously. "Apples and oranges," we'd say. "If you

want to go make money and do administrative work and the other university wants you, . . . then go ahead."

Don't make that a hard-and-fast rule, though. It can be face-saving to receive a modest retention boost to remain at your own university in a faculty role. Many faculty members in this situation will take a small raise to remain at the institution and continue to do good work. In such cases, the retention is really an excuse to reward an outstanding performer outside of the regular cycle of pay increases. If the faculty member with an external offer to do administrative work is looking to take on leadership work, use this as an opportunity to think through the future with that faculty member. Sometimes the end result will be that the faculty member leaves for the other institution, but sometimes you will have helped an excellent colleague develop her or his career.

Supporting the Faculty

Deans are—deans have to be—in the business of promoting the careers of the college's faculty members. This means additional expense when excellence is recognized but not fully supported by the outside world. Here's an example: An assistant professor wins a fellowship to do research in Europe for the year. But the fellowship, which provides national prestige, only brings in $45,000. The faculty member's salary plus benefits package equals more like $110,000. What do you do? To me, this is easy. You congratulate the assistant professor, you agree to make up the salary difference and continue benefits for the year, and you say goodbye and hope that she writes a great book that will help her earn tenure. (You'll also let the department keep the $45,000 that in effect comes in as salary savings: the chair will use the funds to make sure that courses get taught where needed.)

Always support faculty members who take the initiative to win research grants and individual fellowships. You need to make sure that there's no collusion between the faculty and the granting organization to keep the amount of the external award

down—and thus rely on the institution for support that the foundation or agency should be providing—but if there's no collusion, provide the additional support, whether in the example of the assistant professor above or a senior faculty member being recognized for a career filled with achievement.

Sometimes a department chair will grumble about a faculty member who is "always gone," such as when, for example, a chair understandably protests against a junior faculty member's third or fourth consecutive year of leave (carried out with additional support from the institution). In those cases, the need to establish one's institutional career in the context of one's colleagues might outweigh any advantages to the individual's career development and the institutional prestige accorded by the additional years of leave. But in general, always support faculty who win external recognition—and money—for the kind of work the academic world believes in.

There are other reasons for extra support of faculty. Sometimes you'll be guided by institutional policy (in areas like parental leave and leave to care for ill relatives), and sometimes you'll want to provide opportunities for paid or unpaid semester-long leaves for the personal development of your faculty members. Think also about "faculty fellowships" in the dean's office, so that bright and ambitious faculty members can learn a bit more about the different perspective of the institution from the college level. Remember that any benefits from your office should be awarded in conjunction with a faculty member's unit leader, even if the dean's office is picking up the entire tab. It's important for the department chair to get at least half the credit for supporting faculty excellence.

Managing Faculty Poor Performance or Misconduct

Whether because of post-tenure review or poor annual evaluations, some senior faculty members will become subject to a process that requires improvement in one or more performance categories. Usually institutional guidelines set by the provost's

Mediation Training

My first administrative boss, a brilliant university leader and a kind and dedicated mentor, encouraged me to take mediation training, which was offered in a summer program through the university's law school. I recommend that other deans and those aspiring to the role find a way to gain this education. Not only did I learn how to do formal mediation—a skill that most administrators know to be useful—but the training helped me develop my informal approach to the conflict that inevitably arises among students, faculty, and staff on a vibrant campus.

Early in my career, I, like many faculty members, saw conflict primarily as a matter of right and wrong, and resolution of the conflict would be deciding which party had the preponderance of evidence on its side and would therefore prevail. Mediation allowed me to rethink my approach. When, rather than on adjudication, focus is put on coming up with a solution that both sides can accept, outcomes are much better. It doesn't mean that I no longer believe in right and wrong—the notion that mediation forces you to give up your judgment is misleading—but it does mean that you won't be setting yourself up as judge, juror, and executioner, roles in which you will quickly become bogged down.

I recommend not only taking training in mediation but also that you orient your thinking to solving problems rather than discerning guilt. The bold action that may have thrust you into leadership might not be your go-to tactic once you're a dean.

office determine how this process works, with specific metrics for performance set at the unit level. Your role will be to ensure that the guidelines are fairly applied across the units in your area: pay attention to units that have either too many or too few performance improvement plans. If there are many, there might be something wrong with unit leadership or unit expectations.

If there are none, there are likely some faculty members coasting along with mediocre performance. Tenure provides security for faculty members to do excellent work in the classroom and lab, not for faculty members to slack off. Morale is destroyed when faculty members see their colleagues lazily pursuing hobbies instead of the teaching and research excellence that our students and society rightly expect.

Firing (or not renewing) faculty members is difficult to do, even if institutional mechanisms allow for it to happen, whether because of poor performance, curricular change, or financial exigency. This is true even when the faculty involved are teaching only one or two courses a year for you as adjuncts—they may have come to depend on the income from those courses. However, even tenured full professors who undergo progressive discipline, or who have violated conduct expectations, might have to be let go.

Whereas calling in HR is the most important first step when you need to address concerns with the work performance or conduct of a staff member, the first place to go when there are problems with a faculty member's performance or behavior would be your institution's general counsel. HR will be brought in, but legal advice will help you navigate a complex situation. Large institutions might have one lawyer in their Office of the General Counsel dedicated to faculty concerns; a smaller institution might have one lawyer employed to handle all issues as they arise. Regardless, get to know the lawyer who can help you out when you need to understand better not only how to proceed but why to proceed, and what the implications of faculty discipline or removal might be.

The most severe response to faculty performance problems or conduct violations will likely be made by your provost or president, but you should be fully informed and should hope that the provost or president will follow your recommendation. And if you find yourself at odds with decisions made above you, you might want to rethink your continuing service at the institution.

Teaching Load

The relation between the number of courses taught and the definition of a full workload for faculty members can be a tricky issue. While most people see the education of students (particularly undergraduates) as the central work of colleges and universities, the faculty members who do the teaching spend a lot of time figuring out how *not* to be in the classroom. This happens on the local level, with faculty arranging research leaves, sabbaticals, and service assignments that reduce the number of courses they teach annually, and it happens on the institutional level, with research-active faculty teaching only one or two courses per year at some institutions. My doctoral supervisor, who has been a groundbreaking leader in scholarship in our sub-area, told me that when he began his teaching career at what is now a Big Ten university in the late 1960s, he taught three courses per semester. That means he had a heavier teaching burden than far less productive faculty members at a large range of institutions, some doctoral granting, some not.

Schedules have solidified at most institutions. When there are disputes about the amount of teaching some faculty members do, there's typically recourse to the number of students taught or number of credit hours generated. Faculty would rather teach a smaller number of courses with larger enrollment than a larger number of courses with smaller enrollment. At institutions where research or service constitute a quantifiable percentage of a faculty member's 100 percent work commitment, however, the number of courses taught (and not number of students taught) is the baseline for determining percent of effort. Typically, a semester-long course will constitute 20 percent of the faculty member's work for that term. Two courses equal 40 percent, and so on. The course workload ranges widely among teaching-intensive small colleges. At elite institutions, the number of courses will parallel those the faculty member might teach at a research university (although the

intensity of the teaching will likely be greater, due to expectations of students, parents, and college administrators alike). At lesser small liberal arts colleges, faculty members might teach three or four courses per semester, but, again, with a greater intensity of effort than teaching at research institutions.

Every dean in every college at institutions in which faculty members teach fewer than four courses a semester should be justifying the workload as a general rule. While some institutions with two or fewer courses per term expected for faculty members have turned to differential teaching schedules, most have not. Differential teaching schedules, in which faculty less productive in research are assigned more courses, is controversial, and deans should be careful about implementing them against the will of the departments. Often departments will identify one or two scapegoats for more teaching, perhaps appropriately, perhaps unfairly. In theory, differential teaching schedules make sense for tenured faculty members. Their interests, after all, may have shifted from research to teaching over the years. Their enjoyment of a reduced teaching schedule might be outweighed by a combination of guilt and the scorn heaped on them by their colleagues in their annual evaluations. Teaching three or four courses a term, and being rewarded with praise and raises for excellence, might be a better outcome.

Both as middle managers and as academic leaders, deans should commit effort to thinking about appropriate teaching loads. One of the reasons, although not the major one, that institutions have been hiring so many contingent faculty members is that the work of tenured faculty members has become increasingly diverted from the classroom.

The #metoo movement swept the nation at the end of 2017. Academia was ripe for inclusion in the exposure of harassment in the workplace at both the individual and institutional levels. Karen Kelsky's spreadsheet anonymously accusing faculty

members of violations of harassment policies continued to grow; some of the accused were prominent and easily identifiable.*

But one could argue that #metoo actually struck first in academia, with an increased enforcement of Title IX over the past couple of decades. Title IX had formerly been in the public eye for forcing universities to increase opportunities for women in intercollegiate athletics. In the twenty-first century it has been used to structure powerful institutional responses to sexual harassment, which, of course, is a primary way in which women are denied equal participation in higher education. Conservative media outlets claim that Title IX has caused institutions to set up unprofessional kangaroo courts that can deprive (usually) male students and faculty of their academic careers. It's not just conservative outlets, though. Laura Kipnis, a left-leaning communications professor at Northwestern, detailed her experiences in a book titled *Unwanted Advances: Sexual Paranoia Comes to Campus*. The case at the heart of the book was written about widely, including by Kipnis, in publications as diverse as the *Chronicle of Higher Education,* the *New Yorker,* and the *National Review*.

Most institutions have an individual or an office charged with Title IX enforcement, including investigations into alleged violations. Deans will have to get to know their institutions' Title IX offices. They should be proactive, setting up meetings as soon as possible after taking up their positions as dean. Title IX officers are often eager to visit with faculty members during department meetings, and deans can mandate that department chairs and school directors include time in meetings for the Title IX office to present information about the law and the way your institution works to remain in compliance with the law.

* The spreadsheet continues to be publicly available—and added to. Karen Kelsky, "Sexual Harassment in the Academy: An Anonymous Crowdsourced Survey," https://docs.google.com/forms/d/e/1FAIpQLSeqWdpDxVRc-i8OiiClJPluIpjMlM41aUlU2E0rrQ4br_rQmA/viewform.

It is important for you, your staff, your faculty, and your students to understand that Title IX offices do investigations and make recommendations to the institution's administration, including president, provost, and dean. It is the provost and dean, however, who determine how the institution will act outside of any criminal prosecution. There does not need to be a determination of criminal action for a Title IX office to recommend action. Provosts and deans can take disciplinary action regardless of criminal violations of the law.

The dean and the provost need to be on the same page. If the faculty member is not dismissed, any actions should be formative, involving monitoring and mentoring. The faculty members can be prevented, for some duration, from being put in the circumstances that led to the determination that the institution was not in compliance with Title IX as a result of the faculty member's behavior. But egregious violations, whether criminal or not, can and should lead to the dismissal of the faculty member, even a tenured professor. Title IX violations degrade the quality of life for students, staff, and faculty members. Tenure does not and should not protect a professor who has grossly misbehaved. Our students deserve safe educational environments.

Managing the Department Chairs and Unit Directors

Faculty-oriented processes reflect one aspect of managing down. However, your relationship with your academic direct reports—the college's faculty unit leaders—will determine your success in carrying out a broad vision for the college. These faculty unit leaders include school directors, department chairs and heads, research center directors, and anyone else with oversight of a significant budget they think of as theirs. If unit leaders oppose you (for whatever reason), nothing will get done. Department chair is a difficult job: the chairs spend most of their time physically and intellectually in the department, running into faculty members constantly. Indeed, the chair is charged with building

the well-being of the unit, not with serving you and your needs; nourishing the independence of the chairs while working to keep them all on the same team is the difficult but important balancing act that the dean must take on.

Department chairs are chosen in different ways. Know your institution and its practices. Deans working on a unionized campus will by necessity have a more formal, structured relationship with a unit leader than deans who are working with chairs they themselves have appointed through consultation with faculty in the units. Most chairs come to their positions through a combination of unit-level support and dean endorsement. If the greater part of their installation as chair has been the result of an election, they will feel closer to their constituents than to you. If your role in appointing them was greater than the input provided by faculty, they will likely feel closer to you. But even in the latter case, always remember that for them to be effective (in any definition) they need to be trusted by the faculty members in their unit. A dean's stooge will not be an effective chair.

A mix of individual and group meetings with the chairs can be especially effective. Group meetings are good for disseminating information, with feedback and questions welcomed. Group meetings can also help build chair-to-chair relationships, which can be very good for the college as well as for the chairs' individual careers. However, you can get more work done in a one-on-one meeting with a chair. Some deans believe they don't have time for regular individual meetings with unit directors—and if they are arts and sciences deans with twenty departments and twenty chairs, the individual meetings might take place once every three months rather than every other week. But just as deans crave individual face time with provosts, the chairs need their own time with you.

In all of these meetings you will forge initiatives and grow to understand the individual intricacies of your units. Whether in a group or an individual meeting, there should be an atmosphere

of mutual respect. Figure out your tone and try to be consistent. Some deans favor buttoned-down meetings structured by a formal tone (if not specifically by *Robert's Rules*). Other deans prefer informal meetings that may seem more like brainstorming sessions.

Informal works when everyone understands the structure and respects one another. The genuine exchange in these settings can lead to new ideas. The downside is that chairs can get used to thinking of themselves as having an equivalent role to the dean's in the management of the unit. The chairs and dean have both different perspectives and different responsibilities, and, ultimately, these roles can be kept distinct most effectively through the formal structures underlying your meetings.

Managing Academic Programs

As with evaluation of faculty members, most day-to-day management of academic programs occurs at the unit level, with the department providing the set of courses students take in pursuit of degree programs, certificates, and general education. The dean is concerned with high-level oversight of these programs: overseeing their creation, assessment, and discontinuation. Building curriculum can be very exciting for everyone involved, especially if the new program energizes faculty members by speaking directly to their disciplines' central concerns. Assessing those programs can be a royal pain but is essential not only for strong management of those programs but for maintaining programs with academic integrity and value to students. Discontinuing programs can be a nightmare. So, before you get excited about all the new ideas, whether in disciplines or, even more tantalizingly, across disciplines, think about the burden you are laying on your successor who, five or ten years down the road, might be saddled with a program that has folks scratching their heads and saying "Just what were they thinking?!"

Creating Programs

The easiest way to build a new program that might attract students and therefore, in some budgeting models, provide the college with more income, is to put together rival courses or academic programs that one-up offerings elsewhere at the institution. Your college might create individual courses and curriculum, particularly in general education, that can replace courses that students majoring in one of your college's disciplines otherwise take outside of the college, thus making sure that even general education is happening under your own disciplinary tent. If you are dean of the school of engineering, why should your students take an American history course when you could offer The History of Engineering to fulfill a humanities requirement? And if, as dean of business, you could get your school to offer Business Composition, then you could keep those credits—and provide a more tailored educational experience to your early declaring business administration students.

Provosts usually don't like this kind of encroaching curriculum. They often charge the academic senate, or other shared governance body, with policing course proposals so that colleges do not teach outside their expertise as a way to retain student tuition. Under Responsibility Center Management (RCM), most deans try to some extent to offer courses that fulfill broad requirements but keep students, and revenue, within the college. Different provosts—and different universities and colleges—see this in different ways. Make sure you understand your context before developing courses that might seem to overlap with established courses in other colleges—or before you reject the idea out of hand. If all of the other deans are doing it, then you may be imperiling the long-term fiscal health of your own unit if you don't.

More productively, deans can build programs that are genuinely new to the institution. These programs can enhance revenue as well as serve students. One central principle is that deans

should build programs in consultation with the faculty, even when faculty members are not the immediate drivers of the new program. Deans who champion programs of no interest to their faculty will encounter resistance that might doom an otherwise promising new curriculum. Some deans develop good ideas from their own areas of academic expertise. More commonly, deans hear about opportunities from their faculty members, from colleague deans at other institutions, or from business, government, or other entities outside the university. They may also hear from students (and their parents) who express the desire for particular programs. (Be leery of ideas that are obviously trendy: How many *CSI*-inspired forensics programs will still attract students a decade hence?)

Creating programs can be a slow, painful, and politically fraught process. On the academic side, proposed programs may have to undergo review not only from the faculty in the department in which it will be housed, but through shared governance at the institution. A critically important first step is consulting with the provost, who will put the kibosh on programs that do not fit overall institutional needs (or that cross the interests of board members, the state, the city, or other external constituencies that affect what the institution can do even in the academic realm). Once the provost signals approval, you can start to build a business plan. If the university budget director has a template for this process, use it. If there is no overall institutional template for a business plan for an academic program, then ask the institution's budget office to develop one, or if that's not possible, ask your budget director to help. Standardizing how an institution puts together a business plan will make program creation easier for everyone.

The entries on the plan will depend on how the institutional budget model accounts for costs and revenues. Do you need to take into account all facilities costs? Just the cost of new facilities? Even if it's not a separate line that needs to be budgeted, make note of the need for new classrooms and labs. Hiring special-

ized faculty members will most likely be both a huge cost and a giant complication. Departments are rightly protective of their role in hiring. If a new program will involve faculty hires outside the standard faculty-driven process, you need to be in extremely close consultation with department chairs and key faculty members in associated disciplines before the initiative is publicized in any way.

Projecting how many students will be interested in a new program is the most complicated element in planning. Have you done market research or are you just guessing at this number? If these students are new to the institution, then you're in the clear. If students in the new program are coming from the college's own other programs, there may be little or no new net revenue. If the students are coming from programs outside your college or school but are currently enrolled at the institution, the provost may say no, regardless of demand for the program. Moving students around may be to the benefit of your college, but it may not be in the institution's interest. Provosts have to make decisions about what constitutes good internal competition for students and what does not.

Ideally a new program will attract new students to the institution, which is good if your institution has capacity for new students. If admission to the institution is capped, and competitive, then you may be looking to see if your new program will attract more highly qualified students to the institution, making arguments for its establishment on that basis. At the very least you need to be able to demonstrate why the benefit to current students will justify the costs of the program. You should consult early and deeply with the university or college's VP for enrollment management to understand institutional strategy. And don't believe anyone's claim that there will be no costs to a new program. Even in the very unlikely event that you are merely recombining courses that are already on the books and regularly taught, there are some administrative costs to running a new program.

Online Education

The current growth market is in online education. I am a great proponent, if it is done well. My experiences at both the University of Missouri and Arizona State University have demonstrated to me that the audiences reached and, in some cases, the curriculum that online learning makes possible, provide real value that cannot be found through traditional models of higher education. At the undergraduate level are the huge numbers of people who began college but for a variety of reasons did not finish. At the graduate level are the many people who have a deep commitment to furthering their education but who are either place bound or in the middle of careers that do not allow flexibility during the day. Institutions can also offer specialized courses of study that become feasible by pooling (so to speak) interested students from around the country or even around the world. A number of institutions, including ASU, have developed online programs at scale, finding a large international student body that is hungry for courses and academic programs that open their minds as well as courses that provide credentials for career development. Who would have thought that an online bachelor's degree in philosophy would become a huge success? Online education can project the brilliance of great faculty and empower a wide range of students who cannot be served otherwise.

Online education also can be lucrative for colleges and universities and, depending on how the institution sets up the money flow, can lead to growth in the size of the faculty along with operations funding within academic units. A common strategy is to install a revenue share for online programs between the colleges providing the education and the institution's umbrella organization for online learning, which may already have contracted out a portion of the revenue to a major facilitator of online education (Pearson is the biggest player). The revenue is split, and the responsibilities are shared in sometimes opaque ways. (Do students rely on academic

advisers in the units? Or on "coaches" employed through a subcontractor?)

Deans should get to know the opportunities offered on their campuses and energize their academic units to take advantage of these opportunities. At many institutions, the umbrella organization will be doing market research to figure out what programs should be offered. Make sure that your faculty become engaged and retain control over curriculum and education. Online education requires faculty members to adopt new skills and to think differently about the unit-level economics of offering courses and degree programs. New students may mean hiring new faculty to teach them. Or, for departments that have seen declines in traditional student enrollments, the new students brought in through online education can keep faculty fully employed and maintain the size of the unit.

Online education should involve soul-searching by the faculty, who will need to think a bit more entrepreneurially about bringing in students and reshaping curriculum (let alone learning to teach in the popular seven-week terms of online education). I have seen some of the most initially negative faculty members turn positive when they experience the impact their teaching can have on online audiences. You as dean need to understand not only the economics but the pedagogy, the technology, the enrollment management, and the faculty and student support required to make online education a success for students.

Eliminating Programs

It is nearly impossible to eliminate academic programs, even when much of your institution agrees that a particular program no longer serves the interest of students or faculty members as a whole. The program closures that have recently made the news are exactly *not* that. What we've seen recently is politically driven shuttering of programs in a frenzied and poorly thought-out

response to decreasing student enrollment at an institution. When a state university that prides itself on "quality education" tries to eliminate its history major, we are in uncharted territory for higher education.* Any dean, whether of liberal arts or any other area, that goes along with such a proposal should be hounded out of the academy.

A more reasonable approach is discussed in an opinion piece from 2017 in the *Chronicle of Higher Education*. In "What to Consider When Closing an Academic Program," Peter D. Eckel urges university leaders to be very cautious when closing a program.†

There is a difference between closing down a specialized program built to meet the needs of a moment and telling students they can't major in philosophy anymore. The curriculum at most institutions, including small liberal arts colleges, has grown beyond both the disciplines and important interdisciplinary initiatives. Formal curriculum has increasingly reflected the urge for autonomy of what most people might consider to be *sub*-disciplines. When a subdiscipline is reflected in the institution by a major, faculty members begin to affiliate with that major rather than with the overarching academic program offered by their unit. Professor X no longer teaches the history major. Professor X only teaches public history. Students may get divvied up in the history department between the plain old history degree and the sexy public history degree. But in fifteen years, when public history is seen more as a methodology within history than as a separate area of research and education, the existence on the books of the specific major will be difficult to change. There will likely have been faculty hires, administrative processes, and flows of money reflecting and supporting the distinction between history and public history.

*"UW-Stevens Point Facts and Figures," https://www.uwsp.edu/admissions/Pages/WhyUWSP/.

†*Chronicle of Higher Education*, November 12, 2017. https://www.chronicle.com/article/What-to-Consider-When-Closing/241738.

There are no hard and fast rules with which to figure out which subdisciplines and interdisciplinary programs will take off and persist (as, for example, have women's and gender studies; creative writing; statistics; neuroscience; and biomedical engineering) and which will diminish. Just remember: closing academic programs is very difficult, and the emotional fallout can be even more significant than the academic impact on students and the effect on the resources at the institution, human or otherwise. It is much easier to start new programs than it is to end them.

Managing Up

Some of us manage up instinctively. For others, it must be a learned skill, even one that potentially goes against the grain. The concept inherently involves deception and manipulation. Whereas managing the people, programs, and budgets in your administrative purview is justified by value added to an organization's effectiveness and efficiency, managing up can be seen as a selfish practice, combining disrespect and misinformation. One top result in an Internet search for the phrase comes from the *Harvard Business Review*, which features two of its own titles: *Managing Your Boss* (*HBR* bestseller) and *Dealing with Your Incompetent Boss*. Together those two titles pretty much cover it. For many deans who were high-achieving faculty members, managing up is not only a learned skill but a skill only imperfectly learned. Nevertheless, it is critically important for you to manage those above you in the institutional hierarchy. Your success as a dean may closely track your success at managing your bosses.

Your relationship with the president is obviously vitally important to your role as dean, even if you are unlikely to be directly supervised by the campus chief executive. Indeed, because most deans will have a provost or vice president for academic affairs as an intermediary for significant issues, it

behooves deans to make as much as possible out of time spent with the president. Sometimes the president will be figuring out if you're as the provost has presented you, whether that's in a positive or negative light. At other times the president will want expert knowledge about the education and research in the college over which you preside and will count on you to understand the issues in more depth and complexity than the provost could summarize. It is usually inappropriate for a dean reporting to a provost to provide information to the president without copying the provost. You wouldn't want your college's department chairs to bypass you and work directly with the provost, would you?

Therefore, the most important relationship to manage and build is that with your provost. If you're lucky, you're working with a provost who hired you. When the current provost has hired you, her or his reputation is almost as much at stake as your own in terms of success in the position. Still, you need to know when to speak up and when to shut up. You need to know which of the provost's suggestions made to you in an email message or a deans' council meeting need to be taken up immediately, and which might be safely shelved until a reminder demonstrates that the provost really meant it. The provost will want to speak at some college-level events (the key ones), and you need to figure out when and how to invite the provost to participate.

Provosts are often managing up themselves. Never create space between the provost and the president, and be very sensitive to the provost's difficulties (provosts always have difficulties with their bosses). If you're lucky, the provost will begin to confide in you, and you'll gain an understanding of your institution and the tough job your boss has managing the academic side of a complex organization through which millions, if not billions, of dollars flow. You may think that your boss values your frankness and your true opinions. If so, you would be wrong. Your boss values his or her own frankness and looks to

you for confirmation of the best ideas. And with the provost's worst ideas? Be very gentle and raise tactical problems. After all, the provost's goals are your own: academic excellence, service to students, improvement of processes, and careful shepherding of institutional resources. If you are growing to believe that you and the provost do not share these goals, you are in the wrong place at the wrong time.

All of these tactics are intensified if you were brought into your position by a previous provost. Most new provosts hope to rely on inherited deans. Any minute spent worrying about a dean is one less minute to spend on the work of the campus—or the work of managing the president. You might be able to weather conflict with the provost if you have a secure position on campus and the president is firmly in your corner. If you find yourself unable to manage the relationship with your new boss, and you don't have a base of power on campus, it's time to start looking for a position elsewhere or preparing to return to the faculty.

Both the president and the provost will rely on their staff leadership more than on the deans. Provosts' staff meetings are collegial, productive, and friendly, whereas the council of deans is typically tense and fraught. Some members of the president's and provost's staffs will have academic backgrounds, but some may come from a less typical faculty position or from outside the faculty altogether. You won't have a direct reporting relationship to these staff members, but you'll want to develop strong relationships, particularly in areas that overlap significantly with your responsibilities as dean. Examples include the vice provost for academic affairs—a position that typically manages processes for tenure and promotion. Or the vice president for research and creative activity. You'll certainly work with the vice president for human resources and vice president for student life. All of the vice presidents and vice provosts function like solar panels: they soak up the energy of their bosses and then transform it to a fuel that propels their sense of self-importance. Some will

affront your decanal pride through an implicit superiority due simply to their proximity to power. Still, the vice provosts and even some of the vice presidents may envy your independence, both fiscal and academic. You may not really be a CEO if you're a dean, but you will have an opportunity to exercise independent leadership in a way that vice presidents and vice provosts can only envy. Whether they manage suborganizations or merely provide advice, they are subordinate to their bosses in a way that the dean is not. Always say "Please" and "Thank you" to vice presidents and vice provosts. Treat them as though you recognize how truly important they are, even if you don't really believe it.

Donors require a special kind of management known as stewardship. It's impossible to generalize about the relationships that may develop between you and philanthropists who become interested in the institution's programs, whether because they're alums or not. Development professionals at the institution will want to help, especially with major donors (a category defined differently by different institutions or units but typically based on a donation amount deemed significant to the campus or unit). Donors are often grateful for the opportunity to be connected with your college and your institution, and unless they are narcissists, they will be more interested in your telling them what great things are going on than in telling you what you need to do with the resources they are donating. Ultimately, great donors become genuine partners in the academic enterprise, and you may end up getting good ideas for ways to support students and programs.

Whether you're dean at a private institution governed by a self-sustaining board of trustees or at a public institution overseen by a politically appointed governing board, your relationships with those who have legal responsibility for the institution will be highly mediated by the provost and president. You may find yourself trotted out to provide good news about what's going on in the college, and individual board members

might seek you out because they're interested in the disciplines you oversee or because they want (you) to help someone connected with them who might be a student, or even a vendor.

Report all significant contact with a board member to the provost, who will decide whether the president needs to know about it. And it's okay to help out, except when it isn't. If a board member is asking you to connect a faculty member with a student, that's not a big deal. After all, you'd probably do that for anyone who asked you directly. But if a board member is asking for you to rig an admissions decision or an academic policy, you need politely to demur (or at least defer), and you *really* need to report the request to your boss.

The institution's lawyers (often called "general counsel") are not your lawyers or your bosses' lawyers. They are responsible to the board that has legal responsibility for the institution. General counsel will provide you with excellent advice when you come up against problems with people you work with, and they can advise on everything from copyright issues to faculty misbehavior. What they provide is advice—very important advice that you and the provost will discuss. General counsel is more cautious, for obvious reasons, than most deans want to be.

Deans should establish effective relationships with the institution's lawyers, but don't mistake where their legal obligations lie. When you get sued—and you will get sued—general counsel will find you legal representation (unless you've committed malfeasance outside appropriate conduct in your position—in that unlikely case, you're on your own). Some lawyers representing those filing suit will grandstand and serve papers to you in your dean's office without warning. More commonly, even lawyers antagonistic to your institution will be professional about informing general counsel about what's to come. General counsel will let you know that papers are coming and will walk through with you everything that is going to happen. In nearly every case the institution will have you covered and the process won't benefit from you trying to stay on top of the details. Let general

Protecting Yourself

Different professional organizations offer liability coverage that may help if the general counsel decrees that you were or are not acting in institutional good faith and are subject to a lawsuit. Your personal property and auto insurer may, as well. One option for deans is professional liability insurance through the American Association of University Administrators. (What? You're not already a member? Just go to aaua.org).

counsel guide you through each stage of a lawsuit, and try not to think about it too much.

As with governing boards, so with elected representatives, even if you're dean at a private institution and don't have to ritually kowtow to the legislature annually, as colleagues at state institutions generally do. Public research universities have to deal not only with their state legislatures but with the federal government and its agencies. Large institutions, public or private, may employ one or more lobbyist in Washington, DC. If you work at a research university, get to know these people, and don't interact with state or federal officials without consulting with the right people at your institution. The president's chief of staff, if there is one, should be able to provide some guidance. Never complain directly to legislators or their staffs about issues with the college you oversee or your institution more generally. Sometimes the complaining tactic works (building renovations miraculously paid for after a dean's complaints to state representatives), but victories are usually short term (nice building, but the dean gets fired a year later).

Chapter 4

Being of Value

Being a dean is a satisfying job. Even the most service-oriented academic can enjoy without guilt the perks that come with the position. But the chief reason to become a dean is because you are impelled to add value to an institution, almost as a calling. In baseball there is a statistic for individual players called WAR—Wins Above Replacement. WAR measures how many more times a team wins with a specific player than they would expect to win with an average replacement. It's hard enough to get to the major leagues, much less achieve a high WAR rating. Even an average dean has achieved a great deal professionally, of course. But deans should aspire to a high WAR rating.

How can a dean be more than competent?

What makes a dean a great academic leader?

The Numbers

You will ultimately be judged on measurable accomplishments and failures. Even if the stated expectation for you is to "build fine arts at the university into a nationally prominent area"

(a clause extremely vague at the level of each word, let alone as a whole), the concrete set of objectives will be to increase the number of majors in the college of fine arts; to reduce the deficit the college currently runs; to increase the number of national fellowship winners in its departments; to decrease the number of grievances filed by ticked-off faculty members. As a humanist, I find reducing what we do in higher education to a set of numbers to be misleading and somewhat vulgar. But fulfilling expectations by understanding goals and communicating success through numbers is an idiom better trusted by all of our audiences than language, which can coax a triumph out of a disaster in a good-news story put together by a communications team.

Enrollment numbers will keep you up at night. Or they should keep you up at night. For planning purposes, all institutions set enrollment targets and even attempt to project enrollment many years out. Demographics are key to much change. Where are your students? What is your competition? It's true that major changes in the student base will happen over a period longer than any deanship lasts. But you need to think about your responsibility to your institution over the long haul. Some of our employers have been doing great work for hundreds of years. Why should you be the one to screw it up?

If the number of high school graduates in the geographical areas from which you draw most of your students is declining, you need to figure out a recruiting strategy or identify new markets for student enrollment. Bringing students to the institution for majors in a dean's college is a complicated business. In some cases the best strategy is to make phone calls—yes, even the dean can make phone calls—to students who have been accepted to your institution but have not yet indicated a commitment to attend. These are students who have a demonstrated interest in both the institution and the college you lead. Figure out the yield rate for students in the disciplines in your college and set out to improve it.

Enrollment numbers may be your most important metric, but other goals, too, will be quantified for you. The world of fundraising lives and dies by numbers. Universities typically announce fundraising campaigns with a numerical target years in advance of the campaign's closing date—and with bizarre specificity: "Today we announce our next critical step to accelerate breakthroughs in every sphere of our endeavor: The Power of Penn: Advancing Knowledge for Good, a $4.1 billion fundraising and engagement campaign." $4.1? Really? I got the email message sent to alums six months in advance of the campaign "kickoff." They have amazing crystal balls! Probably there is market research demonstrating that a goal of $4.1 billion will raise more money than, say, a goal of $4.3 billion.*

If your college or university enters a fundraising campaign you will likely have a college-level goal, but even in noncampaign years your numbers will be tracked closely. At some institutions deans are regularly presented with their numbers, generally in the form of a comparison between money raised to date and the college's goals. Deans may be given a spreadsheet revealing every dean's ratio of money raised to money goal, allowing them to compare their relative success. Competition is healthy. Or at least effective.

Collaborate closely with the institution's office of development or foundation to set goals on the realistic end of optimism. And then work like hell to get there.

If you are dean at a research university that tracks research expenditures closely by college, you will want to pay careful attention to your levels of external funding. Research universities within the Association of American Universities (AAU) want to ascend in its relative rankings or, if at the bottom of the AAU,

*In conversation with a vice president for development at a major research university I was told that my cynical interpretation of the ".1" was one of several possibilities, and that this number could have a more meaningful purpose.

want to avoid getting kicked out, the way Nebraska was. Research universities outside of the AAU strive to be admitted to the AAU club or, in cases where inclusion isn't realistic, at least want to prove they are as good as or better than the AAU's bottom feeders. Some deans even at traditional research universities believe that the AAU is a scam, but if you are dean at either an AAU institution or an aspiring one, keep that opinion to yourself.

In any case, the college's research goals and the faculty's ability to fulfill them are indeed an indication of the intellectual vibrancy of your campus. If you believe that faculty research and creative work play an essential role in creating a stimulating environment for undergraduate education, you will want your campus, whatever its size or aspirations, to understand, quantify, and project the brilliant work of its faculty.

There is a continual debate on the importance of numbers in promotion and tenure. Deans tear out their hair when faculty committees put forward reports recommending tenure on the basis of sheer quantity (articles, books, grants, courses, and so on) rather than assessing the quality of work. You need to work with your faculty on trying to come up with understandable, consistent, and fair expectations for junior faculty, and inevitably some of this will involve quantity even when you all acknowledge that quality is paramount.

The metrics by which the dean will be judged institutionally are in the success rate of the college's candidates for tenure and promotion. It is a negative mark on the dean when candidates for tenure are denied. The provost won't just be looking at the raw numbers. The provost will (and should) be interested in demographics. Are minority candidates for tenure being denied at a higher rate than whites? Are women being denied more than men? If so, the numbers point to dysfunction in your units, and perhaps in the processes you oversee. If this is the case, don't be passive. Disparity in tenure denials traceable to race, gender, sexuality, disability, or other categories ("protected"

or not) indicates that there is something wrong that needs to be fixed.

General Expectations

I came into administration with a rigidly applied belief in the rule of law, not of men, and that the way to fix the world was to create fair rules and effective processes. That is, if the rules don't produce the right result, work to change the rules, but always apply them consistently regardless of the outcome. One of my provosts saw things differently. A cultural anthropologist, he had a more flexible understanding of how different societies work. When he saw a situation that didn't fit an established rule, he tended to create exceptions to achieve optimal results. This approach helped worthy individuals and probably kept up morale. This provost always thought about the balance between institutional interest and the well-being of individuals.

I came to see the world more as the provost did. Yes, I was all for following process, and for changing the rules when they needed to be changed. But when I could help a student or a faculty member without hurting anyone else (I told myself), it was incumbent on me to take immediate action and worry later about rules and regulations.

As dean you will be expected by both faculty members and students to uphold the institution's collected rules and to abide by them yourself. There will be instances in which going 62 miles per hour in a 55-mph zone will make sense. But I've come back to my original thinking from when I entered administration: there are almost no innocent exceptions to the rules that we expect our community members to trust and uphold. Moreover, the dean's office is not the best place to initiate major changes to those rules. On your level, you can empower faculty committees to examine rules related to promotion, tenure, the curriculum, and other appropriate areas. At the institutional level, keep the pressure (respectfully) on your bosses. If you cannot

fulfill your (or their) vision within the constraint of not only the rules but the incrementally developed customs and processes of the institution, you are in the wrong job. Quit before you are fired and, assuming you have tenure, keep up the good fight from the perspective of teacher and scholar.

Your bosses and your departments will expect you to generate good publicity for the college. Part of that charge, even if you are shy, is to generate publicity about yourself. Your institutional bosses will want newspaper coverage of student success and faculty excellence. You also want your bosses to receive informal messages praising you from important community members.

You can't really control those informal messages, and I caution against encouraging people to write them (something in the tone of the resulting message always signals "I was put up to this"). But you can set up structures to promote the real achievements of the college's students, faculty members, and staff members. Depending on the size of the college's units, you may have dedicated communications officers. In smaller colleges the departments will count on a centrally employed communications officer. You need the college's unit directors and faculty members to trust that they will be praised if they bring forward events or achievements they believe are worthy of publicity. Sometimes you or the college's communications director won't agree, but you should never shoot them down. If they believe a story is worthy, then it is, even if you aren't going to release it from the college or promote it to the institution's central communications office.

Deans should hire associate deans, staff members, and unit directors because they will do a good job, not because they will make the dean look good. Work toward your goals diligently and with integrity and let the chips fall where they may regarding the reflection of this good work on you. Don't worry about how it looks, as long as you are doing the right thing. Your bosses may think they take this approach, too. They hired you because you'll do a good job, not because you will puff up their images.

In reality, though, they are charged with making the institution visibly successful, and their own job security is dependent on projecting a powerful image both internally and externally. If you act or speak in ways that visibly question that image, you may be in for trouble, even if you are in the long run serving the institution. Some provosts have a higher tolerance for pain than others, and good provosts know that to make the institution thrive, they will take a beating. Other provosts have massive egos, need control, and bristle at any criticism, explicit or implicit.

Figure out what the expectation is for your subservience—this is an essential aspect of managing up. Fulfill that expectation. Eating crow, as long as it is not a regular part of your diet, is better than losing your job. Right?

Exercising Leadership

Some deans are administrators first, leaders second. To make a difference, you need to think about leadership. Some readers may be skeptical of the idea of a dichotomy between these two broad roles: without administrative skill, academic leadership can be a destructive force on a campus as the dean tears things down without having the concrete tools to build them back up. Similarly, some provosts might prefer deans who just keep things quiet as administrators, particularly in academic areas that are not central to institutional excellence or institutional financial solvency.

Although this book has primarily addressed the nuts and bolts of academic administration, it is leadership from a compelling and inclusive vision that prepares colleges to excel for years to come. Leadership can certainly involve looking to the past, fighting to defend the value and integrity of the academic traditions and disciplines for which your responsibility is very real. But your leadership needs always to be focused on serving students and society into the future. Leadership is what

campuses need most from deans, and deans most succeed when they act as tangible and effective leaders not only for the constituencies on campus at any given moment, but for future constituencies who will benefit from the work of the institution.

Strategic Planning

Some campuses will require the dean to work with faculty, student leaders, and other constituencies on an institution-wide strategic plan, or to create a strategic plan for the college. Any of these strategic plans may be demanded by a governing board or they may just be seen as a best practice leading to positive change in fundraising and other metrics. Multiyear omnibus strategic plans are of dubious value, even when these plans are followed up with annual dashboards or other ways for interested parties to see what kind of advances have been made in relation to the plans' goals. Despite their stated ambition to be comprehensive, omnibus plans typically reflect a few powerful constituencies who believe they will receive funding for their pet projects by including those projects in the plan.

Even if strategic plans don't work as billed, ad hoc leadership is even less effective. The college's many constituencies have to be kept on the same page, and merely taking advantage of opportunities as you see them—even if you're consistent in how you do it—won't cut the mustard. At a minimum, all deans will fulfill expectations for any mandatory planning proclaimed by the provost and president. But as dean you should, even more importantly, develop a set of strategic goals for the college and share it with the college's faculty members, students, and staff members. As dean you must share openly and optimistically, but at the same time it's asking too much to require all constituents to proclaim unquestioning allegiance to the goals you have set. Work with faculty colleagues consistently to improve performance in relation to the college's public goals—and to refine those goals as time goes on. Without the context of a public

(within the college) compelling strategy, anything you do other than ratify unit decisions or fulfill unit requests is going to look bizarre, as if coming out of nowhere. A strategic plan, however loose, provides both structure and context.

As a start, identify three to five major objectives with specific sub-objectives and try to calculate their costs. When you look to the budget and see some flexibility, be wary of subsuming all discretionary dollars to the strategic plan. But all decisions at the cost of a hire or above should be understood in context of the strategic plan and the diminished resources the college will now have to fulfill the plan. Unless your boss asks you for the college's plan, don't bring it up. Better just to clearly identify what you are doing and why you are doing it. Strategy transcends a spreadsheet or a piece of corporate prosing, but a clearly articulated plan can promote productive action.

Inclusion and Diversity

Inclusion in higher education is a topic far beyond the range of this short volume. But it's crucial not only to acknowledge its importance but to highlight a few ways in which deans can have a positive impact on the colleges they oversee by emphasizing diversity and inclusion in their strategy. Most institutions of higher education explicitly support the notion that their campuses should reflect the diversity of the country and the increased mobility among nations. This means that most deans will be working to increase the diversity—in race, gender, ethnicity, sexual orientation, and disability—in the ranks of staff members, faculty members, and students. Deans can also work with faculty to examine the curriculum to make sure it both reflects and speaks to students from a wide set of backgrounds and experiences.

Increased diversity in a college does not happen simply as a result of good intentions, and the complexity of the solutions gives rise to controversy. I touched on a few practical issues earlier in this book. As a leader, you need to consistently answer

this question: How willing am I, as dean, to manage personnel so as to provide the best chance of diversifying the faculty, staff, and student body? Doing so might mean conducting faculty searches in scholarly areas likely to attract candidates from underrepresented backgrounds. It might involve targeted hires, which nearly always cost more than an open search for a beginning assistant professor but can lead to finding an excellent fit both for the units in the college and for the goal of faculty diversity. It might mean making additional hires in a conventional search if a candidate doesn't rise absolutely to the top of a search committee's recommendations but looks like she or he could succeed and make a number of contributions, including to the goal of diversifying the faculty. Each of these steps might result in a more diverse faculty—but each also runs the risk of alienating colleagues who have a rigid and limited sense of fairness in the faculty hiring process.

As I've noted, as a group, students from first-generation backgrounds face challenges adapting to postsecondary education. What kind of resources can and will you deploy to serve those students? How can you raise money for scholarships or pressure the central administration to devote more of its own financial aid resources to need-based rather than merit-based financial aid? The amount of money that many institutions throw around to lure upper-middle-class kids from the suburbs is shocking when so many students in the entire range of institutions are working twenty or more hours every week to support themselves through their studies.

The diversity of the undergraduate student body is managed by the central office for enrollment management. Your influence will come about via an indirect effect of your management of faculty, staff, and curriculum in the college. But deans at research universities can have a direct and strong leadership impact on doctoral admissions, which are largely handled by the PhD programs themselves. How can you as dean encourage programs to admit a more inclusive set of doctoral students to the institu-

tion? Unless PhD programs educate a diverse range of students, there won't be a large and strong pool of job candidates for faculty positions down the line. One bonus is that well-trained PhD graduates and postdocs from underrepresented backgrounds tend to be hired. Your placement rates will increase when you do the hard work of finding and educating students who may not have the paper credentials of other applicants but who do have the potential to change the world with the outstanding education that your programs can provide. Keep in mind, though, that some of these students not only need additional financial resources to pursue their doctorates but will benefit from revamped doctoral programs that provide academic and nonacademic support in different ways.

When you're hiring staff members, how do you look creatively at the positives people might bring rather than ruling them out because the job description includes standards that are weighted to candidates who have the background required for those positions as the positions existed in the past?

Creating an inclusive college will transform the educational environment, sometimes in ways that make current faculty and staff uncomfortable. Deans from overrepresented backgrounds may also be made uncomfortable. Creating an inclusive college, however, is one of the most important strategic goals you must take on, with a long-term result of diversifying the deanship itself.

Free Speech

College campuses have been a site of free speech controversies for many years, although in recent years the controversies have been transformed by a backlash against demographic change in the country and on our campuses.* As dean, you may feel some

*We can see this in the mainstream media. For example, the *New York Times* has been covering campus free speech in detail. See Jeremy W. Peters, "In Name of Free Speech, States Crack Down on Campus

conflict: your desire to promote the best learning environment for all students may be challenged by speech that either threatens or harms individuals' and groups' sense of self-worth. That being said, it's mind-boggling that some who identify with the political left support speech codes and other restrictions. I confess that as a member of the ACLU since age fourteen, I am a hardline pro-free speech academic. You may be an ideologue on this issue or you may, instead, look at practical considerations.

At some small liberal arts campuses, the students may be further to the left politically than the faculty or administration. At public universities, particularly in "red states," some conservative students might, conversely, complain about their professors' politics—and their professors' exercise of free speech.* A case in Nebraska, covered extensively in the media, exemplifies the issue some campuses face. A progressive graduate teaching assistant taunted a student who was signing up people for the cynical national right-wing group Turning Point USA. State legislators got involved, pretending that they were merely advocating for constitutional free speech rights—but at the same time

Protests," June 14, 2018. Accessed online: https://www.nytimes.com/2018/06/14/us/politics/campus-speech-protests.html?hp&action=click&pgtype=Homepage&clickSource=story-heading&module=second-column-region&region=top-news&WT.nav=top-news.

*See Sarah Brown, "When Professors Stir Outrage, What's a University to Do?" *Chronicle of Higher Education*, June 26, 2018. https://www.chronicle.com/article/When-Professors-Stir-Outrage/243764?cid=wcontentlist_hp_latest. A cogent summary of the legal issues responds to the same issues: Doug Lederman, "A More Nuanced View of Law on Campus Speech," *Inside Higher Ed*, June 27, 2018. https://www.insidehighered.com/news/2018/06/27/college-lawyers-meeting-reminder-free-speech-law-nuanced?utm_source=Inside+Higher+Ed&utm_campaign=117abc9646-DNU_COPY_01&utm_medium=email&utm_term=0_1fcbc04421-117abc9646-198578733&mc_cid=117abc9646&mc_eid=565f83071d.

shielding their government-provided email accounts, which might contain evidence of their ties with organizations like Turning Point USA. The teaching assistant, to the institution's shame, has been barred from teaching.* The university chancellor cites "political pressure."

In other circumstances, faculty members with expertise in areas of race, gender, politics, literature, religion, reproductive biology and technology, and a host of other areas will teach classes with titles and content that some parents and students will find shocking or disturbing. Deans may face pressure surrounding these classes and related areas, such as controversial speakers invited to campus and graduate assistants unclear of the difference between their rights as citizens and students and their responsibilities as instructors or teaching assistants. The content issues spill over into academic freedom at some institutions, where students ask to receive notice—so-called trigger warnings—on course syllabi if potentially offensive or trauma-inducing material, including racism, sexism, violence, or other disturbing issues, will be addressed.

Even the smallest liberal arts college is not a closed community, which means that students receive information and, increasingly, material support from political entities outside the institution. General counsel can advise you on campus policies pertaining to free expression based on institution type as well as typical time and place restrictions related to First Amendment rights. But when the classroom is concerned, the nexus of free

*A full account of this situation is by Steve Kolowich in *The Chronicle*: "State of Conflict," April 27, 2018. Accessed online: https://www.chronicle.com/interactives/state-of-conflict. The best overall coverage of this and other free speech controversies is by Colleen Flaherty in *Inside Higher Ed*. See, for example, "Political Pressure in Nebraska," May 10, 2018. https://www.insidehighered.com/news/2018/05/10/aaup-nebraska-lincoln-violated-lecturers-academic-freedom-when-it-ended-her-teaching.

speech, academic freedom, and students' rights can be extremely complicated. You will be expected to advocate for faculty members and students exercising their academic and free speech rights. You may even be called on as a spokesperson with the media, explaining the academic importance of esoteric, even controversial, scholarship and classroom education, let alone protests outside the classroom. Advocate for faculty and students. Become conversant with their intellectual interests, even if far removed from your own. Even if your position loses out ("political pressure"!), you will have stood up for our constitutional freedoms and for your constituents.

Assessment and Accreditation

Understanding the success of your programs is key to any strategy for excellence. Deans may wonder, though, how current systems of assessment and accreditation will help the college and its departments. The assessment of your programs provides a stamp of validation as well as ammunition you can use to make positive changes—along with ideas about what changes to make. As unexceptional as the current assessment processes are, the various modes of program assessment you oversee will help you better understand the state of affairs. Many books have been written about assessment, some enthusiastically in support of the national effort at guaranteeing quality education, some descriptive and historical, and some in opposition to this movement, which has often been seen as infringing on the rights, and the expertise, of the faculty charged with creating and teaching the higher education curriculum.

You need to keep current with books and white papers on assessment, both as they describe the national conversation at the institutional level and as they highlight assessment for the disciplines in the college. The most effective assessment-related stance a dean can take is to meet the spirit as well as the letter of the edicts from on high about program assessment—while, at

the same time, strongly supporting the faculty and its expertise in understanding what your students need to know, the best way of educating the students, and the most effective way of understanding that your students have, indeed, mastered the material required for them.

Thus, dealing with assessment is, for the effective dean, a balancing act. I recommend providing incentives for faculty members to take on the very unpleasant job of wrangling their colleagues into doing the work not only to come to a collective decision about what a discipline's students need to know, but to shape that collective decision into a readable and plausible document. In some cases (think engineering or nursing or even business) your own approach to assessment will respond to a national accreditation board's expectations.

Deans need to endure the pain of leading an inclusive and genuine effort to meet expectations for assessment. The pain may include monetary incentives to reward the faculty members who take on the onerous burdens within the disciplines and at the college level. You will be glad you have spent the money, particularly when the regional accreditors are grilling your provost and president about the way your sociology department guarantees that its majors have mastered a particular body of knowledge, set of methodologies, and way of thinking. Incentives can also reward the faculty leaders who organize assessment for their units. Departments need to be working closely with your assistant dean or associate dean, who really must be knowledgeable in these matters. Together, the chair and the college's point person can identify a faculty member to lead the departmental effort. Try to avoid burdening promising assistant and associate professors with assessment work. It's time consuming and thankless, no matter how crucial, and ideally it should fall to someone who knows the institution, is invested in its success, and is not under pressure to advance in rank. The coordinating departmental faculty members who ask others to spend their time in assessment meetings and gathering information and

ideas will incur their colleagues' wrath. These faculty members, therefore, should already carry departmental and institutional stature.

Institutional Assessment

Institutional assessment is largely handled by regional accreditors, who are themselves under intense political pressure, particularly from forces who want to see the educational market loosened up for for-profit companies (and hand over accreditation to so-called national accreditors).* So, as much as you will despise the periodic invasion of your time and work by your institution's regional accreditor, we are likely better off with the current system than with any of the alternative plans for ensuring that institutions of higher education do a good job, *and are worthy of federal support for students*. I italicize the clause because assessment efforts come down to a judgment about how the government should spend money on education. In that sense, the endeavor is not at all a joke, even if sometimes its execution appears to be one.

Different accreditors have different processes and different expectations for their periodic reviews. If you've changed institutions and your new college or university works with a different regional accreditor, familiarize yourself with the new process before you're asked to contribute to your institution's efforts. It will be handled at the level of the provost, but the colleges and schools provide information critical for the institutional report. You don't want to be the dean who makes it more complicated for the provost to prepare the report.

For most nonprofit institutions, these accreditors have names that reflect their region, albeit with some oddities. The Higher

*See, for example, Doug Lederman, "Accreditor, and Accreditation, on Trial," *Inside Higher Ed*, June 13, 2016. https://www.insidehighered.com/news/2016/06/13/much-stake-acics-and-accreditation-upcoming-federal-review.

Learning Commission, formerly known by its regional moniker, North Central, includes the state of Arizona. The other accreditors are Middle States, New English Association of Schools and Colleges, Northwest Commission on Colleges and Universities, Southern Association of Colleges and Schools (with its famously nit-picking processes), Western Association of Schools and Colleges, and the Accrediting Commission for Community and Junior Colleges. Each has its own quirks and practices, from scrutable to inscrutable. Veterans of regional accreditation in the provost's office will be a good source for general information and specific details about your institution's work with the accreditors.

College-Level Assessment

Even more important for you as dean is getting to know the bodies that may be certifying the college's individual academic programs. Increasing numbers of undergraduate and graduate degrees receive accreditation of one kind or another from national bodies. The worst of these disciplinary accrediting bodies may function in the manner of organized crime. Your (metaphorical) knees will be capped if you don't pay up at regular intervals. But these organizations also guarantee a minimum level of quality in a way that reassures students (and their parents), and they represent the disciplines and educational best practices with a measure of integrity. Better to hold your nose, pay the protection money, and be thankful that it's not the government you're dealing with for accreditation of that master's degree.

Look at it this way: let's say you're a business dean, and the AACSB (Association to Advance Collegiate Schools of Business) reads your extensive report and comes to town but provides only provisional accreditation. There are two simple but powerful facts to contextualize the report: your institution needs its business school for its reputation, and the business school most likely generates more revenue for the institution

than it consumes. When you go to your provost and say "We need a larger share of the revenue we produce to meet the national standards for top schools of business," your provost will look askance, perhaps with a glare of irritation, but will probably cough up the dough you need to meet the conditions for full accreditation set by the AACSB. Too much rides on a favorable assessment. Indeed, in certain financially and culturally mission-critical colleges—particularly engineering and business—a savvy dean can use the demands of disciplinary accreditation to extract additional resources on a continuing basis (which, of course, will indeed benefit the students and faculty in the units). But you need to be careful to win not just the battle but the war. Even business deans report to provosts and depend on their approval and support.

Individual program accreditors, who might certify a major in chemistry or piano, are both helps and hindrances to a dean trying to build a college. Working with them requires finesse, political judgment, and public relations. You might not need to accredit all of your programs, even if such accreditation exists. Focus on what might matter to students. Faculty members can sometimes sniff out that if they invite their disciplinary society to campus to evaluate their programs, they may be able to argue for additional resources (as you yourself might do with regard to the provost in the scenario in the preceding paragraph). Yet I would not recommend opening these floodgates, unless you truly believe that either student enrollment or educational quality will be detrimentally affected without program accreditation.

One dean—in the job for twenty years, having inherited a prominent top-notch college and its nationally ranked programs—finally got sick of dealing with his field's accreditation body. When they came calling at their five-year interval, the dean just said "No, thank you." The college's flagship program lost its accreditation, but with no discernible effect on student enrollment or ranking in national surveys. Going rogue success-

fully like this depends on the discipline and the stature of the accrediting body. Rejecting accreditation is highly risky, but the option exists. Do this only with approval of your provost, since this will likely cause a kerfuffle on and perhaps beyond campus. Have your campus and media talking points ready at all levels.

Internal Reviews

Many institutions require periodic reviews of programs for internal purposes. These reviews may be commissioned by a governing board, by the provost's office, or, indeed, by you as dean. At large universities, these reviews, like institutional accreditation, will often be managed by someone in the provost's office—typically a faculty fellow or vice provost for undergraduate programs or dean of the graduate school. At medium-sized and smaller institutions deans may work directly with the provost on these internal program reviews.

Process varies according to institution, but typically the college's programs will write self-studies, listing relevant faculty members' understanding of the program's current strengths and weaknesses. With the dean's approval, program leadership will invite a small set of faculty members external to the institution with expertise in the discipline to visit campus for a couple of days. This external review committee will meet with faculty, students, and administration, and compile a report that references the self-study and is built on the visitors' understanding of the unit's or program's goals and the unit's ability to achieve them in light of national standards.

At their best, internal program reviews provide positive opportunities for self-reflection and growth for your faculty. But things are not always at their best, are they? The external examiners invited to campus have often found their way to you because they are close friends of faculty members in your units. They may come from institutions with a slightly higher ranking than your own. Therefore, these reports generally conclude with statements like "Yours could be a nationally ranked program

with the strategic investment of funding to hire new faculty and staff." Sometimes an unpopular department chair or—horrors—the dean will come in for anonymous criticism in the report. Look at a few previous reports, from your institution or from another institution, if someone there is willing to share one, and you'll see these rhetorical patterns emerge. The problem is that your faculty have likely not seen enough of these reports to recognize the patterns. To them, it's like a never-before-seen clarion call.

Reports from the external reviewers generally recommend aligning your unit's programs and departments with the perceived high national norm of institutions within the same Carnegie classification. If you're at the University of Kansas, say, your external program reviewers might come from the universities of Washington, Illinois, and Minnesota, and their report will nudge you toward providing resources so that your own department and units will be more like Berkeley, Michigan, or North Carolina. If you are at Knox College, the reports will offer advice on how your programs might become more like those at Grinnell or Carleton.

After the external reviewers' report is circulated, the program or unit is often charged with writing a response that situates the report in the context of the self-study and your institution's situation. This response can be the most useful of these documents for strategic planning, as it will reflect the department's or program's ambitions in the context of the aspirational commentary put forward by the external reviewers.

Departments have different processes for conjuring these responses. Often the dean's office will have officially to accept responses and reports at various stages. Try to understand how the unit response has come about. And take advantage of any opportunity to discuss a response as preliminary before finally accepting it. Deans quickly become cynical about the final departmental response, which is often a document suggesting that every fix for the department is easy to achieve with an infusion

of personnel and money. Of course, many, perhaps most, units can be improved through more money and more and better people, but you are in a position of having to decide which units to provide with substantial investment. Some of the departments in question may not have yet proven that they can be functional and think collectively and with vision under current conditions. Unfortunately, merely infusing dollars will never make a dysfunctional unit excellent. Therefore, ultimately, there is little good that can come of these reports for active deans who understand the disciplines they oversee. Manage the process actively so that you minimize the harm that can come to you down the line, while encouraging units and faculty who want to work together to become better, whether in their research, teaching, or service to students.

Building Resources

Deans will be remembered positively if they increase the resources available to their constituencies and will be remembered negatively if the colleges they oversee appear weaker or poorer when they finish their time in the position. No matter the institution, no matter the budget system the institution uses, deans need to acquire resources. This volume has pointed to a few places where deans can look for money. Here's a quick summary:

- More students
  - Increased initial enrollment in the college
    - New programs and curriculum
    - Improved programs
    - Online programs
  - Better retention of students to the college
- Program fees and differential tuition
- Philanthropy
- Research dollars from agencies and foundations

- Making a convincing case to the provost that you need a larger share of the institution's resources
- Patents and other inventions
- Noncredit courses and events for the community

Deans should be thinking of all of these funding sources all the time. Try not be consumed by the search for dollars but, at the same time, know that some of the value you provide as dean is bringing resources to the college's constituencies.

National Strategy

Campus is not the only place where your work will find value. The national organization bringing together deans of colleges like yours will be a great place to compare experiences and find nonjudgmental support. Have the phone numbers of peer deans at hand and don't hesitate to consult. National organizations also offer leadership opportunities to active deans, whether through service in the organization or broad collaboration on grants and projects. Working with national organizations provides national visibility and at the same time can enhance a dean's CV. In addition, depending on the relative strength of the organization vis-à-vis the academic disciplines, leadership in the national organization can translate into leadership of the disciplines it serves.

Make sure to go to the conference the first year you are dean. If you already know people, so much the better. But if you can, arrange to spend a few minutes with the leaders of the organization. Attend the plenaries and, especially, the receptions. (I know this is easier for extraverts than for the very effective introverted deans out there.) Even if you don't drink alcohol, order a soft drink and hang out in the hotel lobby bar at the main conference hotel, where you will invariably meet some of the long-serving deans who have been coming to the meeting for decades. Many of these deans have become real

friends with each other, and they are almost always willing to share experiences, and friendship, with newbies who show an interest.

Leading for Others

Finally, the dean is the most prominent voice on campus for the academic disciplines housed in the college's units. Deans have their own personalities, preferences, and ideas, which might mean favoring, in their heart of hearts, certain departments or faculty members. True leadership on campus involves making the case for *all* of the disciplines in the college and, in particular, for the contributions the college's faculty members and students make locally as well as nationally. At larger institutions, you may be one of a number of deans. Your collective work as academic leaders in the council of deans is critically important. Standing together, the deans can stand watch over the academic health of the institution. So even as you might represent engineering as that college's dean, you also represent the value of the arts and importance of social work. Keep your grievances to small, closed groups. You will lose the confidence of your peers—and your boss—if you are seen to be unbecomingly protective of your own units.

Epilogue

Knowing When to Stop

Deans, and their deanships, are neither immortal nor immovable. At some point—possibly early into your deanship—search firms will come calling about opportunities for deanships and provost positions at other institutions.* If you are interested in exploring these positions, you will need to rely on recommendations from your provost, your president, and a set of colleagues at your own institution and across the country. Before listing people as references, talk to them. The provost may be angry at having to do another search if you leave. As a dean, you likely can't successfully play the faculty game of getting an external offer to raise your own salary. In any case, whatever your reason, once it becomes known that you're looking, your influence on campus will begin to wane with your peer deans, the provost's staff, and the department chairs. People will feel betrayed when the long, complicated, and expensive search that yielded a dean who didn't stay has just led to

*There is a recent dissertation on this subject: Lisa M. Jasinksi, "'From the Center to the Margin': Theorizing the Process of Returning to the Faculty after Senior Academic Leadership," University of Texas, 2018.

another search. If you start applying to massive numbers of positions shortly into your deanship, you will lose the confidence of your bosses, the college staff, and the leadership and faculty members in the units in the college. If you don't get any of the jobs you apply to, you will look incompetent. If you get offers but stay, the search firms will grow wary of you. Only apply if you're serious about a particular job and are willing to move if the offer is made.

At the same time, don't wait until it's too late. People will notice that you've become dean, and you'll be "hot" on the job market. In terms of your current position, only you will know how things are going, and you may have to go by your impressions rather through a genuine performance evaluation from your provost. You won't always know if you've lost your boss's confidence. Remember that the provost likely has back channels into your college, especially with senior faculty members who may like things just the way they are, thank you very much, and not be particularly happy about the changes you make or are proposing to make. This is doubly true if you've come to your deanship from another institution. Buyers' remorse tends to set in after the initial jubilation at your arrival. Reading the provost should be a hard and cold skill that you develop methodically and consciously. Don't engage in wishful thinking, or you may end up out of a job and back on the faculty.

If your provost is replaced, next steps for you can go in one of two different directions. Perhaps you will be well enough established, and in a powerful college, to be able to exert influence over your new boss. But if there are reasons why replacing you might help the new provost become established, you could be on your way out.

And as sad as it is to say this, your effectiveness on the job will not determine your standing at the institution or the length of your deanship. Effectiveness is, after all, relative. Even if you were told you were hired to bring change, you may be fired because you did bring it. Pay careful attention. If the political

winds seem to be blowing hot, open your ears to the siren song of the headhunters.

Perhaps moving on is neither practical nor what you desire, for professional or personal reasons. Whether your deanship comes to an end because it is on a fixed term, or, as is more common, you are either fired or voluntarily relinquish the position to return to a quieter and more peaceful life as a faculty member, you may face a transition. At the point you decide—or it is decided for you—that you will be "stepping down" (vile and false phrase!) and returning to your faculty position, you should be lining up what your role will look like. Coming full circle, to chapter 1 of this book, you should prepare for this eventuality when negotiating your original contract as dean. If your contract does not specify the salary you will receive when you exercise the so-called right of return, you will be in a weak bargaining position and will possibly have to make do with a very different salary from the salary you had been receiving as dean.

Even more complicated will be the negotiation with the department chair you formerly supervised. What will your role in the department be? Whether you've served as an exemplary dean for twenty years or you're a dean fired after two, you don't want to be a burden on the department chair, who will, regardless of the circumstances, hope that your presence won't disturb the rest of the faculty members in the unit. There are many great ways to detach from the all-consuming work of being a dean and to rebuild in ways that can be nourishing to your intellect and soul. Just as you should never be a dean with fear, don't fear not being a dean.

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Further Reading

Inside Higher Ed (InsideHigherEd.com) and the *Chronicle of Higher Education* (Chronicle.com) are essential reading for deans on an ongoing basis. If you're reading this book you are likely familiar with these news and advice outlets. I have written for both publications, and I am informed daily by their top-flight journalism and the advice and opinion pieces written by colleagues in the academy. The *Chronicle* is now bundling articles on discrete topics, including how to be a dean. These bundles in general, and that bundle specifically, might be of interest and use to readers of this book.

Two other periodicals merit special attention to those interested in higher education leadership: *Change: The Magazine of Higher Learning* and *Diverse: Issues in Higher Education*. The latter is a valuable site for placing faculty and professional staff job announcements that will reach a wide audience.

There is also extensive research and writing on higher education, some scholarly and some intended more directly for the practitioner. Here are a few books and articles that have both informed my practice and helped me think through the issues I address in this book.

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